

<b>SOLICITATION, OFFER AND AWARD</b>		1. THIS CONTRACT IS A RATED ORDER UNDER DPAS (15 CFR 700) ►		RATING		PAGE OF 1   164 PAGES			
2. CONTRACT NO.		3. SOLICITATION NO. DE-RP26-03NT41820		4. TYPE OF SOLICITATION SEALED BID (IFB) <input checked="" type="checkbox"/> NEGOTIATED (RFP)		5. DATE ISSUED		6. REQUISITION/PURCHASE NO.	
7. ISSUED BY U.S. Department of Energy, National Energy Technology Laboratory P.O. Box 880, 3610 Collins Ferry Road, Morgantown, WV 26507-0880				CODE		8. ADDRESS OFFER TO (If other than Item 7)			
NOTE: In sealed bid solicitations, "offer" and "offeror" mean "bid" and "bidder."									

**SOLICITATION**

9. Sealed offers in original and _____ copies for furnishing the supplies or services in the Schedule will be received at the place specified in Item 8, or if handcarried, in the depository located in <u>IIPS electronic</u> until <u>8:00pm</u> local time <u>1/28/2004</u> . (Hour) (Date)							
CAUTION ☐ LATE Submissions, Modifications, and Withdrawals: See Section L, Provision No. 52.214-7 or 52.215-1. All offers are subject to all terms and conditions contained in this solicitation.							
10. FOR INFORMATION CALL: ►		A. NAME Donald E. Hafer Jr.		B. TELEPHONE NO. (NO COLLECT CALLS) AREA CODE 304 NUMBER 285-1361 EXT.		C. E-MAIL ADDRESS <a href="mailto:Donald.hafer@netl.doe.gov">Donald.hafer@netl.doe.gov</a>	

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**OFFER (Must be fully completed by offeror)**

NOTE: Item 12 does not apply if the solicitation includes the provisions at 52.214-16, Minimum Bid Acceptance Period.									
12. In compliance with the above, the undersigned agrees, if this offer is accepted within <u>180</u> calendar days (60 calendar days unless a different period is inserted by the offeror) from the date for receipt of offers specified above, to furnish any or all items upon which prices are offered at the price set opposite each item, delivered at the designated point(s), within the time specified in the schedule.									
13. DISCOUNT FOR PROMPT PAYMENT (See Section I, Clause No. 52.232-8) ►		10 CALENDAR DAYS %		20 CALENDAR DAYS %		30 CALENDAR DAYS %		CALENDAR DAYS %	
14. ACKNOWLEDGMENT OF AMENDMENTS (The offeror acknowledges receipt of amendments to the SOLICITATION for offerors and related documents numbered and dated:		AMENDMENT NO.		DATE		AMENDMENT NO.		DATE	
15A. NAME AND ADDRESS OF OFFEROR		CODE		FACILITY		16. NAME AND TITLE OF PERSON AUTHORIZED TO SIGN OFFER (Type or print)			
15B. TELEPHONE NUMBER AREA CODE NUMBER EXT.		15C. CHECK IF REMITTANCE ADDRESS IS DIFFERENT FROM ABOVE ☐ ENTER SUCH ADDRESS IN SCHEDULE				17. SIGNATURE		18. OFFER DATE	

**AWARD (To be completed by Government)**

19. ACCEPTED AS TO ITEMS NUMBERED		20. AMOUNT		21. ACCOUNTING AND APPROPRIATION	
22. AUTHORITY FOR USING OTHER THAN FULL AND OPEN COMPETITION: <input type="checkbox"/> 10 U.S.C. 2304(c) ( ) <input checked="" type="checkbox"/> 41 U.S.C. 253(c) ( 5 )		23. SUBMIT INVOICES TO ADDRESS SHOWN IN (4 copies unless otherwise specified) ►		ITEM	
24. ADMINISTERED BY (If other than Item 7) CODE		25. PAYMENT WILL BE MADE BY CODE			
26. NAME OF CONTRACTING OFFICER (Type or print)		27. UNITED STATES OF AMERICA (Signature of Contracting Officer)		28. AWARD DATE	

IMPORTANT ☐ Award will be made on this Form, or on Standard Form 26, or by other authorized official written notice.

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## **SECTION B - SUPPLIES OR SERVICES AND PRICES/COSTS**

### **B.1 SERVICES BEING ACQUIRED (JUNE 2003)**

The Contractor shall furnish all personnel, equipment, material, supplies, and services except as may be expressly set forth in this contract as furnished by the Government and otherwise do all things necessary for, or incident to the performance and providing of the following items of work:

Item 1 - Information Technology and Engineering Support (ITES) core services in accordance with Part III, Section J, Attachment A, Statement of Work, Service Areas 4.1, 4.2, 4.3, 4.4, and 4.6.

Item 2 - Information Technology and Engineering Support (ITES) variable services in accordance with Part III, Section J, Attachment A, Statement of Work, Service Area 4.5.

Item 3 - Reports as prescribed in accordance with Part III, Section J, Attachment B, "Reporting Requirements Checklist."

### **B.2 TOTAL ESTIMATED COST/MAXIMUM AVAILABLE PERFORMANCE AWARD FEE (MAY 2003)**

(a) The total estimated costs are as follows:

	<b><u>Line Item #1</u></b>	<b><u>Line Item #2</u></b> <b><u>Minimum</u></b>	<b><u>Line Item #2</u></b> <b><u>Maximum</u></b>
Base Period	[ TBD ]	\$5,000	20% of estimated cost for Line Item #1
First Option Year	[ TBD ]	\$5,000	20% of estimated cost for Line Item #1
Second Option Year	[ TBD ]	\$5,000	20% of estimated cost for Line Item #1

(b) The maximum available award fee for Line Item #1 is as follows:

Base Period	[ TBD ]
First Option Year	[ TBD ]
Second Option Year	[ TBD ]

Maximum available award fee for cost plus award fee tasks issued for Line Item #2, Variable Services, shall be established for each task order when issued.

Under cost plus award fee task orders, all fee shall be at risk, there shall be no base fee.

### **B.3 CEILING PRICE OF CONTRACT (JUL 1991)**

The ceiling price of this contract, inclusive of Fixed and Award Fee is \$ **TBD**. All orders including CPFF, CPAF, and FFP count against this ceiling.

### **B.4 ESTIMATED LEVEL OF EFFORT (JUNE 2003)**

The Contractor shall provide the following estimated total Direct Productive Labor-Hours (DPLH):

PERIOD	DPLH Line Item #1
[ Base Period (36 months) ]	[ 291600 ]
[ Option Period 1 (12 months) ]	[ 97200 ]
[ Option Period 2 (12 months) ]	[ 97200 ]

DPLH for Line Item #2 task orders shall be established for each task order when issued.

Direct Productive Labor-Hours (DPLH) are defined as actual work hours exclusive of vacation, holiday, sick leave, and other absences. The DPLH indicated above are provided for estimating purposes. Changes in programmatic requirements may cause a substantial increase or decrease in the number of DPLH. The Contractor shall be required to provide all DPLH which may be needed to complete the Task Orders issued during the term of the contract. However, the Contractor shall not proceed beyond the estimated DPLH unless authorized to do so in a contract modification issued by the Contracting Officer.

Nothing in this clause shall be construed to constitute authorization for work not in accordance with the "Limitation of Cost", "Limitation of Funds", "Completion Dates", or "Term of Contract" clauses of the contract.

#### **B.5 TYPES OF TASK ORDERS (AUG 2003)**

Task Orders issued under this contract will be either Cost-Plus-Fixed-Fee, Cost-Plus-Award-Fee, or Firm Fixed Price Task Orders in accordance with the terms and conditions set forth in Section H of this contract. Task Orders issued under this contract will be performance-based. Each task order will describe performance requirements, performance standards, and the means of performance measurement.

(a) Cost-Plus-Fixed-Fee Task Orders

Task Orders may be issued to require the Contractor to complete a specific task (or tasks) for cost plus a fixed fee. The fixed fee shall be determined on an individual task basis. If a task will be issued on a cost-plus-fixed-fee basis, the Contractor will be requested to propose the fee amounts at the time proposals are requested for the task. The amount of fixed fee for each task order is subject to negotiation.

(b) Cost-Plus-Award-Fee Task Orders

Task Orders may be issued to require the Contractor to complete a specific task (or tasks) for cost plus an award fee. The maximum award fee shall be determined on an individual task basis. If a task will be issued on an award fee basis, the Contractor will be requested to propose the award fee amount at the time proposals are requested. The amount of award fee for each task order is subject to negotiation. Maximum available award fee for cost plus award fee tasks issued for the level of effort stated for Line Item #1 in paragraph B.4 shall not exceed the maximum available award fee stated in paragraph B.2.

(c) Firm Fixed Price Task Orders

Task orders may be issued to require the Contractor to complete a specific task (or tasks), for a firm fixed price. The Contractor's task order proposal for firm fixed price completion task orders shall indicate the proposed DPLH and the labor categories utilized. ODC and travel costs required for performance of the task order shall be included in each specific task order proposal, as well as any profit.

#### **B.6 OPTION TO EXTEND SERVICES**

The Government may require continued performance of any services within the limits and at the rates specified in the contract. These rates may be adjusted in accordance with the pricing requirements of FAR 8.707. The option provision may be exercised more than once, but the total extension of performance hereunder shall not exceed 6 months. The Contracting Officer may exercise the option by written notice to the Contractor within thirty (30) days of the end of the contract period. Primary application of this authority would occur if delays in awarding a successor contract at the scheduled completion of this award were apparent

#### **B.7 52.217-9 OPTION TO EXTEND THE TERM OF THE CONTRACT. (MAR 2000)**

(a) The Government may extend the term of this contract by written notice to the Contractor within the term of the contract; provided that the Government gives the Contractor a preliminary written notice of its intent to extend at least thirty (30) days before the contract expires. The preliminary notice does not commit the Government to an extension.



(b) If the Government exercises this option, the extended contract shall be considered to include this option clause.

(c) The total duration of this contract, including the exercise of any options under this clause, shall not exceed 60 months.

#### **B.8 DISTRIBUTION OF PERFORMANCE AWARD FEE (JUNE 2003)**

The total amount of award fee available for cost plus award fee tasks issued under this contract is assigned as follows:

<b>FEE PERIOD</b>	<b>EVALUATION BEGINNING DATE</b>	<b>EVALUATION ENDING DATE</b>	<b>PLANNED VALUE</b>	<b>AVAILABLE AWARD FEE</b>	<b>FEE EARNED</b>
1	06/01/2004	09/30/2004	*	*	*
2	10/01/2004	03/31/2005	*	*	*
3	04/01/2005	09/30/2005	*	*	*
4	10/01/2005	03/31/2006	*	*	*
5	04/01/2006	09/30/2006	*	*	*
6	10/01/2006	03/31/2007	*	*	*
7	04/01/2007	05/31/2007	*	*	*

In the event of the Government exercising an option period, Fee Period 7 Evaluation Ending Date may be extended to include four months of the option period. In the event of contract termination, either in whole or in part, the amount of award fee available shall be a pro-rata distribution associated with evaluation period activities or events as determined by the Contracting Officer.

\* The Planned Value and Available Award Fee shall be filled in upon the completion of available award fee negotiations for each evaluation period identified. The Fee Earned column shall be filled in based on the amount of fee earned for each evaluation period identified.

#### **B.9 LIMITATION OF FUNDS -- COST PLUS AWARD FEE (AUG 2003)**

Pursuant to FAR 52.232-22, "Limitation of Funds," total funds in the amount of \$[TBD ] are obligated herewith and made available for payment of allowable costs and award fee to be incurred from the effective date of this contract through the period estimated to end [TBD ].

#### **B.10 ANNUAL INDIRECT RATE SUBMISSIONS (MAY 1994)**

##### **(a) Introduction**

(1) Indirect billing, revised billing (as necessary), and final rate agreements must be established between a Contractor and the Department of Energy (DOE) for each of the Contractor's fiscal years for the life of the cost reimbursement type contract. These indirect rate agreements allow a Contractor to recover indirect expenses incurred during a fiscal year for which final indirect rates have not been established.

(2) Indirect billing and revised indirect billing rate proposals must represent the Contractor's best estimate of the anticipated indirect expenses to be incurred and the estimated allocation base for the current fiscal year in accordance with their approved accounting system. Revised billing rates allow a Contractor or DOE to adjust the approved billing rates, based upon updated information, in order to prevent significant over or under billings. Revised billing rates, once established, are retroactive to the beginning of the fiscal year involved and require an adjustment voucher to be submitted by the Contractor reconciling all previous indirect billings which used the previously approved billing rates.

(3) A final indirect rate proposal represents the indirect rate expenses actually incurred during a fiscal year and the actual business base experienced. Once established they are retroactive to the beginning of the fiscal year involved and require an adjustment voucher to be submitted by the Contractor reconciling all previous indirect billings if the established final rates differ from the previously approved billing rates.

(4) FAR 42.703(a) stipulates that "A single agency [see FAR 42.705-1(a)] shall be responsible for establishing indirect cost rates for each business unit. These rates shall be binding upon all agencies and their contracting offices, unless otherwise specifically prohibited by statute." This single Government agency is referred to as the Cognizant Federal Agency (CFA). The CFA is normally the Federal agency which has the largest unliquidated contract dollar amount by fiscal year with a Contractor.

(5) The establishment of rates for the reimbursement of independent research and development/bid and proposal costs shall be in accordance with the provisions of FAR 31.205-18, "Independent Research and Development and Bid and Proposal Costs," and both FAR Subpart 42.10 and DEAR 942.10, "Negotiating Advance Agreements for Independent Research and Development/Bid and Proposal Costs."

(6) Sections (b) and (c) or (d) of this clause define the requirements to be followed by the Contractor in establishing indirect rates for contracts when DOE is the CFA and when DOE is not the CFA. Specific instructions for submittal of indirect rate proposals to agencies other than DOE must be obtained from the agency involved.

(b) Requirements whether or not DOE is the CFA

(1) Allowability of costs and acceptability of cost allocation methods shall be determined in accordance with the applicable sections of FAR Part 30, "Cost Accounting Standards," FAR Part 31 and DEAR 931, "Contract Cost Principles and Procedures," in effect as of the date of this contract.

(2) Pending settlement of the final indirect expense rates for any period, the Contractor shall be reimbursed at billing rates approved by the CFA subject to acknowledgment by the DOE Indirect Rate Contracting Officer (IRCO). These billing rates are subject to appropriate adjustments when revised by mutual agreement or when the final indirect rates are settled, either by mutual agreement or unilateral determination by the CFA subject to acknowledgment by the DOE IRCO.

(3) The Contractor shall continue to use the latest DOE or CFA approved billing rate(s) which have been acknowledged by the DOE IRCO until those rates are superseded by establishment of final rates or more current billing rates. In those cases where current billing rates have not been established, the latest approved final rates shall be used for invoicing, unless it is determined by the DOE IRCO that use of said rates would not provide for an equitable recovery of indirect costs. In those instances the DOE IRCO will take whatever steps are necessary to establish rates that DOE considers to be reasonable for billing purposes.

(4) All Indirect Rate agreements and correspondence shall be submitted to:

U.S. Department of Energy  
National Energy Technology Laboratory  
626 Cochran Mill Road  
P.O. Box 10940  
Contracting Officer for Indirect Rate Cost Management  
Building 921-I07  
Pittsburgh, PA 15236-0940

(c) Requirements when DOE is the CFA

(1) No later than 90 days after the close of its fiscal year, the Contractor shall identify to the DOE IRCO all of its contracts with Federal agencies, either as a prime or as a subcontractor (any level), and provide the following information for those contracts:

Name of Federal Agency  
Contract Number  
Contract Value (total and by fiscal year)  
Period of performance  
Type of contract (CPFF, FFP, etc.)

(2) In accordance with the "Allowable Cost and Payment" clause (DEAR 952.216-7) the Contractor, as soon as possible but not later than 90 days after the close of its fiscal year, shall submit to the DOE IRCO, identified in paragraph (b)(4) of this clause, a proposal for final indirect rates based on the Contractor's actual costs for the period, together with all supporting data. The Contractor's failure to provide the required rate proposals in a timely manner may impact payment of vouchers and could ultimately result in suspension of payments for the indirect expense portion of the vouchers.

(3) The settlement of the final indirect rates and indirect costs shall be accomplished prior to the Contracting Officer's approval of the final payment.

(4) Pending settlement of the final indirect expense rates for any period, the Contractor shall be reimbursed at billing rates approved by the DOE IRCO. These billing rates are subject to appropriate adjustments when revised by mutual agreement or when the final indirect rates are settled, either by mutual agreement or unilateral determination by the cognizant DOE IRCO (see FAR 42.704).

(5) The Contractor shall provide to the DOE IRCO annually, no later than 30 days after the close of its fiscal year, a billing rate proposal for the ensuing fiscal year, with supporting data. Failure to provide the required rate proposals in a timely fashion may impact payment of vouchers and could ultimately result in suspension of the indirect expense portion of vouchers.

(6) If the projected indirect expenses or bases change substantially during any fiscal year, the Contractor shall notify the DOE IRCO in writing and request an adjustment to the indirect billing rates. Upon review of the revised billing rate proposal the DOE IRCO may adjust the previously approved billing rates. Such adjustments will apply retroactively to all billings containing the previously approved rates for the fiscal year in question and the Contractor shall make all appropriate adjustments on its next voucher.

(d) Requirements when DOE is not the CFA

(1) When another Federal Agency or a different DOE Office has the CFA responsibility for the establishment of indirect rates with the Contractor, the Contractor shall provide a copy of the rate proposals, including all supporting documentation, submitted to the CFA. These submittals to DOE shall be within the time periods established within paragraphs (c)(2) and (c)(5) of this clause unless a written request for an extension is submitted by the Contractor and granted by DOE. Failure to provide the required rate proposals in a timely manner may impact payment of vouchers and could ultimately result in suspension of payments for the indirect expense portion of vouchers.

(2) The Contractor shall provide copies of all rates established by that CFA and any correspondence related to indirect rates to the DOE IRCO. It is imperative that the DOE IRCO be provided signed copies of all rate agreements established by the CFA since these agreements must be in the possession of, reviewed, and acknowledged by the DOE IRCO before any rates contained therein can be used by the Contractor for cost reimbursement.

(3) The Contractor shall identify, if known, the Cognizant Federal Agency (CFA) responsible for the establishment of indirect rates, factors, and Facilities Capital Cost of Money Rates.

**SECTION C - DESCRIPTION/SPECIFICATIONS/WORK STATEMENT****C.1 STATEMENT OF WORK (NOV 1997)**

The Statement of Work is located in Part III -- Section J, Attachment A to this contract.

**C.2 REPORTS (MAY 1998)**

Reports shall be prepared and submitted in accordance with the reporting requirements described in Part III -- Section J, Attachment B and as required by Task Orders issued against this contract. The Task Orders issued will include instructions on submitting deliverables required under that Task Order.

**SECTION D - PACKAGING AND MARKING****D.1 PACKAGING (FEB 1999)**

Preservation, packaging, and packing for shipment or mailing of all work delivered hereunder shall be in accordance with good commercial practice and adequate to insure acceptance by common carrier and safe transportation at the most economical rate(s).

Except for those reports required by the Reporting Requirements Checklist of the contract, which are coded by A (As required) where the urgency of receipt of the report by the Government necessitates the use of the most expeditious method of delivery, reports deliverable under this contract shall be mailed by other than first-class mail, unless the urgency of the deliverable sufficiently justifies the use of first-class mail. The Contractor shall not utilize certified or registered mail or private parcel delivery service for the distribution of reports under this contract without the advance approval of the Contracting Officer except for those reports coded A.

**D.2 MARKING (JAN 1999)**

Each package, report or other deliverable shall be accompanied by a letter or other document which:

- (1) Identifies the contract by number under which the item is being delivered.
- (2) Identifies the deliverable Item Number or Report Requirement which requires the delivered item(s).
- (3) Indicates whether the Contractor considers the delivered item to be a partial or full satisfaction of the requirement.

For any package, report, or other deliverable being delivered to a party other than the Contracting Officer, a copy of the document shall be simultaneously provided to the office administering the contract, as identified in Section G of the contract, or if none, to the Contracting Officer.

**SECTION E - INSPECTION AND ACCEPTANCE****E.1 INSPECTION (NOV 1997)**

Inspection of all items under this contract shall be accomplished by the DOE Contracting Officer's Representative (COR), or any other duly authorized Government representative.

**E.2 ACCEPTANCE (MAR 1999)**

Final acceptance of all work and effort under this contract (including "Reporting Requirements," if any) shall be accomplished by the Contracting Officer.

**THE FOLLOWING CLAUSE PERTAINS ONLY TO COST-REIMBURSABLE TASK ORDERS ISSUED AGAINST THIS CONTRACT.****E.3 52.246-5 INSPECTION OF SERVICES - COST-REIMBURSEMENT. (APR 1984)**

(a) *Definition.* "Services," as used in this clause, includes services performed, workmanship, and material furnished or used in performing services.

(b) The Contractor shall provide and maintain an inspection system acceptable to the Government covering the services under this contract. Complete records of all inspection work performed by the Contractor shall be maintained and made available to the Government during contract performance and for as long afterwards as the contract requires.

(c) The Government has the right to inspect and test all services called for by the contract, to the extent practicable at all places and times during the term of the contract. The Government shall perform inspections and tests in a manner that will not unduly delay the work.

(d) If any of the services performed do not conform with contract requirements, the Government may require the Contractor to perform the services again in conformity with contract requirements, for no additional fee. When the defects in services cannot be corrected by reperformance, the Government may -

(1) Require the Contractor to take necessary action to ensure that future performance conforms to contract requirements; and

(2) Reduce any fee payable under the contract to reflect the reduced value of the services performed.

(e) If the Contractor fails to promptly perform the services again or take the action necessary to ensure future performance in conformity with contract requirements, the Government may -

(1) By contract or otherwise, perform the services and reduce any fee payable by an amount that is equitable under the circumstances; or

(2) Terminate the contract for default.

**THE FOLLOWING CLAUSE PERTAINS ONLY TO FIXED-PRICED TASK ORDERS ISSUED AGAINST THIS CONTRACT.**

**E.4 52.246-4 INSPECTION OF SERVICES - FIXED-PRICE. (AUG 1996)**

(a) *Definition:* "Services," as used in this clause, includes services performed, workmanship, and material furnished or utilized in the performance of services.

(b) The Contractor shall provide and maintain an inspection system acceptable to the Government covering the services under this contract. Complete records of all inspection work performed by the Contractor shall be maintained and made available to the Government during contract performance and for as long afterwards as the contract requires.

(c) The Government has the right to inspect and test all services called for by the contract, to the extent practicable at all times and places during the term of the contract. The Government shall perform inspections and tests in a manner that will not unduly delay the work.

(d) If the Government performs inspections or tests on the premises of the Contractor or a subcontractor, the Contractor shall furnish, and shall require subcontractors to furnish, at no increase in contract price, all reasonable facilities and assistance for the safe and convenient performance of these duties.

(e) If any of the services do not conform with contract requirements, the Government may require the Contractor to perform the services again in conformity with contract requirements, at no increase in contract amount. When the defects in services cannot be corrected by reperformance, the Government may -

(1) Require the Contractor to take necessary action to ensure that future performance conforms to contract requirements; and

(2) Reduce the contract price to reflect the reduced value of the services performed.

(f) If the Contractor fails to promptly perform the services again or to take the necessary action to ensure future performance in conformity with contract requirements, the Government may -

(1) By contract or otherwise, perform the services and charge to the Contractor any cost incurred by the Government that is directly related to the performance of such service; or

(2) Terminate the contract for default.

**SECTION F - DELIVERIES OR PERFORMANCE****F.1 PERIOD OF PERFORMANCE (BASE CONTRACT WITH OPTION(S)) (JUNE 2003)****BASE CONTRACT**

The work to be performed under the Base Contract (Reference Part I, Section, B) shall commence on the effective date of the contract and shall continue for 36 months.

NOTE: The Government may elect not to exercise either of the options, to exercise either option, or to exercise both options.

**OPTION I**

If Option I is exercised, the work to be performed under the Contract option (Reference Part I, Section B) shall be for a period of 12 months from the effective date of the exercised option. This includes time for submission of all reports and review of those reports by DOE.

**OPTION II**

If Option II is exercised, the work to be performed under the Contract option (Reference Part I, Section B) shall be for a period of 12 months from the effective date of the exercised option. This includes time for submission of all reports and review of those reports by DOE.

**F.2 EXERCISE OF OPTION(S) (NOV 1997)**

The Department of Energy has included an option to purchase additional quantities of supplies or services and to extend the term of this contract. In order to demonstrate the value it places on quality performance, the Department has provided a mechanism for continuing a contractual relationship with a successful Contractor that performs at a level which meets or exceeds quality performance expectations as communicated to the Contractor, in writing by the Contracting Officer or designated representative. When deciding whether to exercise the option, the Contracting Officer will consider the quality of the Contractor's performance under this contract.

**F.3 PRINCIPAL PLACE OF PERFORMANCE - NETL (JULY 2003)**

The principal place of performance under this contract shall be at the National Energy Technology Laboratory located in Morgantown, WV and Pittsburgh, PA. NETL is a geographically dispersed organization, therefore the Contractor may be required to travel between, and provide services to various other NETL or DOE locations in the United States.

**F.4 52.242-15 STOP-WORK ORDER. (AUG 1989)**

(a) The Contracting Officer may, at any time, by written order to the Contractor, require the Contractor to stop all, or any part, of the work called for by this contract for a period of 90 days after the order is delivered to the Contractor, and for any further period to which the parties may agree. The order shall be specifically identified as a stop-work order issued under this clause. Upon receipt of the order, the Contractor shall immediately comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the work covered by the order during the period of work stoppage. Within a period of 90 days after a stop-work is delivered to the Contractor, or within any extension of that period to which the parties shall have agreed, the Contracting Officer shall either -

(1) Cancel the stop-work order; or

(2) Terminate the work covered by the order as provided in the Default, or the Termination for Convenience of the Government, clause of this contract.



(b) If a stop-work order issued under this clause is canceled or the period of the order or any extension thereof expires, the Contractor shall resume work. The Contracting Officer shall make an equitable adjustment in the delivery schedule or contract price, or both, and the contract shall be modified, in writing, accordingly, if -

(1) The stop-work order results in an increase in the time required for, or in the Contractor's cost properly allocable to, the performance of any part of this contract; and

(2) The Contractor asserts its right to the adjustment within 30 days after the end of the period of work stoppage; provided, that, if the Contracting Officer decides the facts justify the action, the Contracting Officer may receive and act upon the claim submitted at any time before final payment under this contract.

(c) If a stop-work order is not canceled and the work covered by the order is terminated for the convenience of the Government, the Contracting Officer shall allow reasonable costs resulting from the stop-work order in arriving at the termination settlement.

(d) If a stop-work order is not canceled and the work covered by the order is terminated for default, the Contracting Officer shall allow, by equitable adjustment or otherwise, reasonable costs resulting from the stop-work order.

**SECTION G - CONTRACT ADMINISTRATION DATA****G.1 CORRESPONDENCE PROCEDURES (FEB 2000)**

To promote timely and effective administration, correspondence (except for invoices and reports) submitted under this contract shall be subject to the following procedures:

(a) Technical Correspondence

Technical correspondence (as used herein, this term excludes technical correspondence where patent or technical data issues are involved and correspondence which proposes or otherwise involves waivers, deviations, or modifications to the requirements, terms, or conditions, of this contract) shall be addressed to the DOE Contracting Officer's Representative, with an information copy of the correspondence to the DOE Contract Specialist.

(b) Property Correspondence

Property correspondence (as used herein, this term includes correspondence which addresses matters which relate to property issues which come under the contract's Government property provisions) shall be addressed to the DOE Property Administrator, with information copies of the correspondence to the DOE Contracting Officer's Representative and the DOE Contract Specialist.

(c) Indirect Rate Correspondence

All correspondence relating to the establishment, revision, and negotiation of billing and final indirect cost rates shall be addressed to the Contracting Officer for Indirect Cost Rate Management, with information copies of the correspondence to the DOE Contract Specialist.

(d) Other Correspondence

All other correspondence shall be addressed to the DOE Contract Specialist with information copies of the correspondence to the DOE Contracting Officer's Representative.

(e) Subject Line(s)

All correspondence shall contain a subject line commencing with the contract number, i.e., DE-AC26-04NT41820, and identifying the specific contract action requested.

**G.2 SUBMISSION OF VOUCHERS/INVOICES (APR 2001)**

(a) Voucher Form (SF 1034)

In requesting reimbursement, Contractors shall use Standard Form 1034 (Public Voucher for Purchases and Services Other Than Personal), and the Invoice Detail Report. Electronic versions of the SF1034 can be found on the NETL website at <http://www.netl.doe.gov/business/forms/forms.html>. Acceptable substitutes for the 1034 form (which provide the same necessary information) may be used.

In accordance with FAR 52.232-25, "Prompt Payment," all invoices shall include the following information:

- (1) Name and address of Contractor/vendor
- (2) Invoice date
- (3) Contract number or other authorization for delivery of property or service
- (4) Description, price and quantity of property and services actually delivered or rendered
- (5) Shipping and payment terms
- (6) Name (where practicable), title, phone number and complete mailing address of responsible

official to whom payment is to be sent (must be the same as that in the contract or in a proper notice of assignment)

- (7) Name (where practicable), title, phone number and complete mailing address of the person to be notified in the event of a defective invoice.
- (8) Other substantiating documentation or information as required by the contract.

(b) Supporting Documentation

The Invoice Detail Report referenced in Section J, Attachment B, must be provided as support documentation with each invoice. This is in addition to the frequency of report submission indicated in the Reporting Requirements Checklist, Section J, Attachment B. This report is required to be submitted as an attachment to the invoice and also submitted in accordance with the reporting requirements to the individuals indicated on the distribution list provided during the post award debriefing.

Direct costs (e.g., labor, equipment, travel, supplies, etc.) claimed for reimbursement must be adequately supported. The level of detail provided must clearly indicate where the funds were expended. For example, support for labor costs must include the labor category (e.g., program manager, senior engineer, technician, etc.) the hourly rate, and the labor cost per category; equipment costs must be supported by a list of the equipment purchased, along with the item's cost; supporting data for travel must include the destination of the trip, number and labor category of travelers, transportation costs, per diem costs, and purpose of the trip; and supplies should be categorized by the nature of the items (e.g., office, lab, computer, etc.) and the dollar amount per category.

Indirect rates used for billings must be clearly indicated, as well as their basis of application. When the cognizant Administrative Contracting Officer (ACO) or auditor approves a change in the billing rates, include a copy of the approval.

(c) Submission of Voucher

Submit one copy of the original voucher including the Supporting Documentation to the following payment office:

U. S. Department of Energy  
Oak Ridge Financial Services Center  
P. O. Box 4787  
200 Administration Road  
Oak Ridge, TN 37831

In addition, submit two copies of the voucher including the Supporting Documentation to the following address:

U. S. Department of Energy  
National Energy Technology Laboratory  
ATTN: Accounts Payable  
3610 Collins Ferry Road, P.O. Box 880  
Morgantown, WV 26507-0880

(d) Billing Period

Vouchers shall be submitted no more frequently than monthly (unless prior written consent of the Contracting Officer for more frequent billing is obtained). The period of performance covered by vouchers should be the same as covered by any required monthly technical progress reports and/or monthly cost reports.

(e) Payment Method

In accordance with Mandatory Information for Electronic Funds Transfer Payment, payment under this contract will be made utilizing the Automated Clearing House (ACH) network. The payment system is specifically referred to as "Vendor Express."

(f) Defective Invoices

Invoices that are determined to be defective, and therefore not suitable for payment, shall be returned to the Contractor as soon as practicable, specifying the reason(s) why the invoice is not proper.

(g) Status of Payments

The Oak Ridge Financial Service Center (ORFSC) has a system via Internet, in which Contractors can request information about payments by invoice, by contract number, and/or by paid date. The system is called Vendor Inquiry Payment Electronic Reporting System (VIPERS) and is available to Contractors at the following website: <http://finweb.oro.doe.gov/vipers.htm>. Contractors must have a federal tax identification number (TIN) and then obtain a personal identification number (PIN) to access the system.

**G.3 NOTICE OF INVOICE PROCESSING BY SUPPORT CONTRACTOR (DEC 1999)**

A support service Contractor performs the function of processing of all invoices submitted to the National Energy Technology Laboratory, against its awards. Therefore, this Contractor has access to your business confidential cost/rate information. A special provision in this Contractor's award requires the confidential treatment by all Contractor employees of any and all business confidential information of other Contractors and financial assistance recipients to which they have access.

**G.4 ACCOUNTABILITY OF COSTS/SEGREGATION OF TASK ORDERS (JUNE 2003)**

All costs incurred by the Contractor under this contract shall be segregated by each Task Order. The Contractor shall, therefore, establish separate "Job Order Accounts and Numbers" for each task order issued and shall record all incurred costs in the appropriate job order account assigned each Task Order.

There shall be no co-mingling of costs between Task Orders.

**G.5 PAYMENT OF PERFORMANCE AWARD FEE (JUNE 2003)**

The Government will promptly make payment of any award fee earned upon submission by the Contractor to the Contracting Officer, of a public voucher or invoice in the amount of the total fee earned for the period evaluated. Payment shall be made based upon an authorization letter from the Fee Determination Official (FDO) and without the need for a contract modification.

**THE FOLLOWING CLAUSE PERTAINS ONLY TO COST PLUS FIXED FEE TASK ORDERS ISSUED AGAINST THIS CONTRACT.**

**G.6 PAYMENT OF FIXED FEE (LEVEL-OF-EFFORT TASK ORDERS)**

The fixed fee specified in the Task Order clause entitled, "Estimated Cost and Fixed Fee" shall be paid to the Contractor on the basis of the number of Direct Productive Labor Hours (DPLH) delivered relative to the number of DPLH set forth in the clause entitled, "Estimated Level of Effort", Section B, clause B.4.

The amount of fixed fee earned and payable under the contract, prior to final payment, shall be the amount derived by dividing the total number of DPLH delivered to date under the contract by the total number of DPLH to be delivered under the contract, and multiplying the result by the total fixed fee set forth in the clause; provided, however, that this amount does not exceed 85% of the fixed fee specified in the Task Order clause entitled "Estimated Cost and Fixed Fee" (See FAR 52.216-8 Fixed Fee).

The total amount of fixed fee earned under this contract upon its expiration shall be 100% of the fixed fee set forth in the Task Order clause entitled "Estimated Cost and Fixed Fee"; provided, however, that the number of DPLH delivered under the contract equals or exceeds 90% of the total DPLH to be delivered under the contract (See the clause entitled "Estimated Level of Effort").

## **SECTION H - SPECIAL CONTRACT REQUIREMENTS**

### **H.1 CONSECUTIVE NUMBERING (JAN 1999)**

Due to automated procedures employed in formulating this document, clauses and provisions contained within it may not always be consecutively numbered.

### **H.2 TECHNICAL DIRECTION (JUNE 1998)**

- (a) Performance of the work under this contract shall be subject to the technical direction of the Contracting Officer's Representative (COR). The term "technical direction" is defined to include, without limitation:
  - (1) Directions to the Contractor which redirect the contract effort, shift work emphasis between work areas or tasks, required pursuit of certain lines of inquiry, fill in details or otherwise serve to accomplish the contractual Statement of Work.
  - (2) Provision of written information to the Contractor which assists in the interpretation of drawings, specifications or technical portions of the work description.
  - (3) Review and, where required by the contract, approval of technical reports, drawings, specifications and technical information to be delivered by the Contractor to the Government under the contract.
- (b) Technical direction must be within the scope of work stated in the contract. The COR does not have the authority to, and may not, issue any technical direction which:
  - (1) Constitutes an assignment of additional work outside the Statement of Work;
  - (2) Constitutes a change as defined in the contract clause entitled "Changes";
  - (3) In any manner causes an increase or decrease in the total estimated contract cost, the fixed fee (if any), or the time required for contract performance;
  - (4) Changes any of the expressed terms, conditions or specifications of the contract; or
  - (5) Interferes with the Contractor's right to perform the terms and conditions of the contract.
- (c) All technical directions shall be issued in writing by the COR.
- (d) The Contractor shall proceed promptly with the performance of technical directions duly issued by the COR in the manner prescribed by this clause and within the authority under the provisions of this clause. If, in the opinion of the Contractor, any instruction or direction by the COR falls within one of the categories defined in (b)(1) through (5) above, the Contractor shall not proceed but shall notify the Contracting Officer in writing within five (5) working days after receipt of any such instruction or direction and shall request the Contracting Officer to modify the contract accordingly. Upon receiving the notification from the Contractor, the Contracting Officer shall:
  - (1) Advise the Contractor in writing within thirty (30) days after receipt of the Contractor's letter that the technical direction is within the scope of the contract effort and does not constitute a change under the "Changes" clause of the contract; or
  - (2) Advise the Contractor within a reasonable time that the Government will issue a written change order.
- (e) A failure of the Contractor and Contracting Officer to agree that the technical direction is within the scope of the contract, or a failure to agree upon the contract action to be taken with respect thereto

shall be subject to the provisions of the clause entitled "Disputes - Alternate I".

### **H.3 MODIFICATION AUTHORITY (NOV 1997)**

Notwithstanding any of the other provisions of this contract, the Contracting Officer shall be the only individual authorized to:

- (a) accept nonconforming work,
- (b) waive any requirement of this contract, or
- (c) modify any term or condition of this contract.

### **H.4 GOVERNMENT PROPERTY AND DATA**

- (a) Except as otherwise authorized by the Contracting Officer in writing, the Contractor is not authorized to acquire as a direct charge item under this contract any equipment (including office equipment), furniture, fixtures or other personal property items.
- (b) Acquisition Authorization Requirements
  - (1) In the course of performance of this contract, the Contractor may only acquire and direct charge to this contract such items on the "Government-Furnished Property List" and only as directed by the CO or their designee.
  - (2) In the event the Contractor acquires and direct charges property to this contract, the Contractor shall be required to ensure the property is entered into the Property Administration Management System (PAMS) and indicates the Purchase Order number utilized to acquire the property.
  - (2) The Contractor may request authorization for acquisition of additional items from the Contracting Officer. Any such request shall include an analysis of the most economical method of acquisition (e.g., lease versus purchase) and shall describe the material equity arising from any proposed lease arrangement, such as option credits.
  - (3) Any changes in the acquisition authorization shall be reflected in a revision of the "Government-Furnished Property List".
  - (4) Authorization to acquire does not constitute consent to the placement of a subcontract.
- (c) Government-Furnished Property and Data
  - (1) Except as otherwise authorized by the Contracting Officer in writing, only that property and data specifically included in the "Government-Furnished Property List" shall be furnished.
  - (2) The current "Government-Furnished Property List" is located on the Internet at <http://www.netl.doe.gov/business/solicit/ssc2003/index.html> and will be available for Contractor access at this site during the solicitation phase of this contract.
  - (3) The "Government-Furnished Property List" is considered a living document and is maintained through the Property Administration Management System (PAMS). The Contractor will designate an authorized representative who will have limited access to the PAMS for the purpose of updating the property list and acquiring property reports. The most current "Government-Furnished Property List" can be obtained through the report capability in the PAMS as property assigned to this contract.
  - (4) No less frequently than annually, the Contractor will complete a physical inventory of property

furnished. The inventory will be reconciled with the Government and adjustments, if necessary, will be made to the PAMS.

- (5) The "Government-Furnished Property List" as maintained in the PAMS is incorporated into this contract by reference in its entirety. No hard copy of the Government-Furnished Property List will be attached to this contract.
- (6) Administration of the Government-Furnished Property and the PAMS will be the responsibility of the Organizational Property Management Officer and/or the Government Property Administrator.

(d) Reporting Requirements

The reports required shall be submitted in accordance with 48 CFR 945 and the reporting requirements set forth in Part III, Section J, Attachment B.

The reports are to include all capital equipment and sensitive items acquired or furnished under this contract, whether or not listed on the attachments referenced above.

#### **H.5 MOVEMENT OF GOVERNMENT PROPERTY OFF-SITE -- NETL**

No Government-owned property, equipment, or materials will be removed from the National Energy Technology Laboratory without prior written permission from the CO, COR, or their designee. The Contractor will establish a tracking system for property regularly moved off-site (e.g. laptops, pagers, cellular phones, PDAs, etc.) and have that tracking system approved by the CO, COR, or their designee prior to implementation.

#### **H.6 GOVERNMENT PROVIDED SERVICES (JUNE 2003)**

The Government shall provide the following on-site services. The Contractor shall use these services for official use only, in performance of the required services specified in this SOW.

- (a) Utilities: The Government shall provide electricity, water, lights, sewage, and heating or cooling.
- (b) Mail Distribution: The Government shall provide mail pick-up and delivery of official mail.
- (c) Postage: Government-provided postage is restricted to official correspondence.
- (d) Telephone: Telephones shall be provided for Contractor-personnel to make official local and long distance calls. The Contractor shall be responsible for reimbursing the Government for telephone service calls to repair, modify, replace, etc. due to Contractor employee negligence, misuse, or damage.
- (e) Custodial Service: The Government shall provide custodial services to include emptying of trash cans, vacuuming and shampooing of carpeted areas in Government-furnished facilities.
- (f) Refuse Collection: The Government shall provide refuse collection at Government-furnished facilities.
- (g) Insect and Rodent Control: The Government shall provide insect and rodent control in Government-furnished facilities. The Contractor shall notify the COR if the facilities appear to be infested.
- (h) Printing and Reproduction: Office copiers shall be provided according to Government policies for their use. The Contractor shall use NETL's Graphics and Printing facilities for the productions of documentation required in support of this SOW.
- (i) Equipment Maintenance: The Government shall maintain equipment whose maintenance is not obtained through this contract.
- (j) Security Police and Fire Protection: In case of emergency, the Contractor shall notify the Security Office



immediately. The Contractor shall obtain these phone numbers from the COR and keep them posted and up to date at all times.

(k) Transportation: NETL has a pool of GSA vehicles, to which the Contractor will have reasonable access for Official Government business in performance of services required in this SOW (e.g. travel and training).

#### **H.7 USE OF GOVERNMENT-OWNED EQUIPMENT/FACILITIES (JAN 2000)**

The Contractor is authorized to use on a no-charge, non-interference, basis in the performance of this contract, the Government-owned equipment/facilities indicated below. Such use is authorized on the basis that it will not interfere with the performance of the Government contract(s) for which such property was provided, and, unless otherwise stipulated, shall be in accordance with the terms and conditions thereof.

A list of Government-Furnished Property that the Contractor is authorized to use is provided in the electronic reading room located at <http://www.netl.doe.gov/business/solicit/ssc2003/index.html>. This reading room will only be available during the solicitation phase of this contract. After contract award the Government-Furnished Property List will be maintained in accordance with Clause H.4, Government Property and Data.

Other associated Government furnished items for the on-site personnel include: office space, office furniture, local area network services, parking facilities, and other services as described in the clause entitled "Government Provided Services".

#### **H.8 LIMITATION ON SOFTWARE (JUNE 2003)**

The Contractor shall not knowingly violate license agreements (expressed or implied), copy, change (with the exception of vendor-supplied updates or maintenance requirements), or release to a third party, Government-furnished software, including other vendors' proprietary software, for any purpose other than that for which it was provided to the Contractor under the terms of this contract.

Unless provided as Government-furnished software, the Contractor shall not use software in which the Contractor holds proprietary rights, or rights as a licensee, without the prior written authorization of the Contracting Officer.

The Contractor agrees not to restrict the design and development of software in such a fashion that it shall unreasonably favor specific vendor hardware and software.

#### **H.9 SECURITY AND PERSONNEL REQUIREMENTS (JUNE 2003)**

##### **(a) GENERAL RESPONSIBILITIES**

The Contractor shall be responsible for complying with the provisions of NETL's unclassified security program. The Contractor shall cooperate with the Computer Security Program Manager (CSPM) and the Contracting Officer's Representative (COR) in all information security matters.

##### **(b) CLASSIFIED MATERIAL**

NETL normally does not handle classified material so the Contractor shall abide by all provisions of the Department of Energy (DOE) Order 205.1 "Unclassified Computer Security Program". However, "on request" services provided by the Contractor off-site for other Government agencies may require access to classified materials and appropriate security clearances for Contractor personnel performing the services.

##### **(c) ACCESS TO FACILITIES**

The Contractor shall prohibit access to Government-furnished facilities of any persons other than authorized Government and Contractor employees, unless prior approval is obtained from the Contracting Officer (CO) or appropriate COR.

The Contractor shall maintain the security within the facility. Anyone entering the facility who does not have a valid NETL identity badge must be processed through the NETL Visitor Registration process at the NETL Security Office or main lobby and must obtain a visitor identification badge and be escorted by a NETL representative. All personnel who have not been issued a NETL identity badge shall be escorted.

(d) PHYSICAL SECURITY

The Contractor shall be responsible for safeguarding and securing all Government property provided for use under this contract. The Contractor shall notify the COR within 24 hours after discovery of any missing Government property.

(e) KEY CONTROL

The Contractor shall ensure there is adequate control of keys and access cards to preclude the loss, misplacement or unauthorized use and access to Government equipment and facilities. The Contractor shall not duplicate keys issued by the Government.

In the event the Contractor loses Government keys, the Government shall replace, or re-key, all keys or locks, as the Government deems necessary. The Government shall deduct the total cost for replacing locks and keys from the monthly payment due the Contractor. In the event a master key is lost or duplicated, the Government shall replace all locks and keys for that system and deduct the total cost for replacement from the monthly payment due to Contractor; or at the Government's discretion, the Government shall require the Contractor to replace locks and keys to the COR's satisfaction.

The Contractor shall report any occurrence of a lost or misplaced key to the COR within 4 hours of discovering that a key has been lost or misplaced. The Contractor shall provide a follow-up report, in writing, to the COR within 24 hours.

The Contractor shall prohibit the use of Government-issued keys by any persons other than the Contractor's authorized employees.

(e) COMBINATION CONTROL

The Contractor shall ensure there is control of combinations for combination and cipher locks. The Contractor shall notify the COR within one workday after termination of employment of all Contractor employees who have access to the combination. The Contractor shall establish and implement methods to ensure that no lock combinations are revealed to unauthorized persons. The procedures shall be included in the Contractors Quality Control Program.

(f) PERSONNEL AND SECURITY

- (1) Building Access: The Contractor shall require all contract employees' to complete the appropriate forms for computer and Building access security. The Contractor shall require all departing contract employees' to complete the appropriate forms for computer, property, and Building access security.
- (2) Identification Badge: The Contractor shall obtain an identification badge for each Contractor employee from NETL Security prior to entry on duty. Contractor employees shall display this identification badge at all times within NETL facilities. Contractor shall be responsible for returning badge of departing employee to Security.

(g) DATA SECURITY

All information, whether stored in the computer, in hard copy form, or on magnetic media, shall be protected from disclosure, and unauthorized modification or destruction at all times. Contractor personnel shall take all precautions to protect the information and programs and shall report all suspected violations to the COR or CSPM.

Information processed and stored by these Information Resource systems shall include some information that must

be safeguarded from disclosure and alteration. That information is subject to protection by the Privacy Act of 1974 or The Freedom of Information Act (5 USC, Section 552). The Contractor agrees, in the performance of this contract, to keep sensitive information in the strictest of confidence and to take reasonable measures to protect it from unauthorized modification or destruction, said information being the sole property of the Government. The Contractor also agrees not to publish, reproduce, or otherwise divulge such information in whole or in part, in any manner or form, and not to authorize or permit others to do so. The Contractor shall take such reasonable measures as are necessary to restrict access to this information, while in his possession, to those employees needing such information to perform the work provided herein, e.g. on a "need to know" basis. The Contractor shall immediately verbally notify, and notify in writing before the close of business of the next day, the Government COR or the CO or his authorized representative, in the event that the Contractor has or has reason to suspect a breach of data security occurred.

#### **H.10 KEY PERSONNEL/PROGRAM MANAGER (MAR 1998)**

The key personnel, which includes the Program Manager, specified below, are considered to be essential to the work being performed under this award; moreover, any changes to these personnel require prior DOE Contracting Officer's written approval.

The Program Manager shall serve as the Contractor's authorized supervisor for technical and administrative performance of all work hereunder. The Program Manager shall receive and execute, on behalf of the Contractor, such technical directions as the DOE Contracting Officer's Representative may issue within the terms and conditions of the contract.

The following is a list of key personnel that have been approved for this contract:

<u>Name</u>	<u>Title</u>
[TBD]	[ TBD]

Prior to diverting any of the specified individuals, the Contractor shall notify the Contracting Officer not less than thirty (30) calendar days prior to the diversion or substitution of key personnel and shall submit a written justification (including qualifications of proposed substitutions) to permit evaluation. The proposed changes will be approved in writing at the sole discretion of the Contracting Officer, with concurrence of the Contracting Officer's Representative.

#### **H.11 PRIOR APPROVAL REQUIREMENTS FOR PLACEMENT OF SUBCONTRACTS AND/OR CONSULTANTS (OCT 1998)**

The Contractor shall obtain the Contracting Officer's written consent before placing any subcontract, including consultants, for which advance notification is required under FAR 52.244-2, "Subcontracts".

Any request for subcontract/consultant approval shall include the elements prescribed by FAR 52.244-2, including subcontractor/consultant Representations and Certifications. For consultants the Contractor will obtain and furnish information supporting the need for and selection of such consultant services and the reasonableness of the fees to be paid, including, but not limited to, whether fees to be paid to any consultant exceed the lowest fee charged by such consultants to others for performing consulting services of a similar nature.

Except as may be expressly set forth therein, any consent by the Contracting Officer to the placement of subcontracts and/or consultants shall not be construed to constitute approval of the subcontractor or any subcontract terms or conditions, determination of the allowability of any cost, revision of this contract or any of the respective obligations of the parties thereunder, or creation of any subcontractor privity of contract with the Government.

The Contractor is hereby given consent to the placement of the following subcontractors, which were evaluated during negotiations:

[ TBD ]

Notwithstanding this consent, the Contractor shall ensure compliance with FAR 52.244-2. Also, since these subcontracts and/or consultants have as a purpose the conduct of research, development and demonstration work, they must additionally contain all applicable flow-down clauses contained in Part II, Section I.

#### **H.12 ORDERING PROCEDURE (DEC 2000)**

Performance under this contract shall be subject to the following ordering procedure:

The Contractor shall incur costs under this contract only in the performance of Task Orders and revisions to Task Orders issued in accordance with this ordering procedure. No other costs are authorized without the express written consent of the Contracting Officer (CO).

From time to time during the period of performance of this contract, Task Orders will be issued in writing by the Contracting Officer designating (1) the task to be performed; (2) the schedule of performance; (3) authorized travel; (4) any Government-furnished property; and (5) any special instructions. Such Task Orders will specify deliverables and required delivery dates. Deliverables may consist of statements, charts, reports, briefing notes, tabulations, view graphs, and other forms of presentation as appropriate. If appropriate, based on 48 CFR 945, property which is Government-furnished or Contractor-acquired will also be listed in the Government-Furnished Property List of this contract as well as in the individual Task Orders.

Task Orders will be issued on forms specified and provided by the Government. Task Orders will be numbered. A modification to the Task Orders will be identified by an alpha designation following the existing Task Order number indicating the revision sequence.

The Contractor shall submit within ten (10) calendar days, after receipt of each Task Order issued by the Contracting Officer, a one-time Contractor Task Management Plan. The Task Management Plan is the Contractor's overall estimate for the completion of the Task Order and shall include the following:

- (1) Date of commencement of work, and any necessary revision to the schedule of performance.
- (2) Direct Productive Labor Hours (DPLH), both straight and overtime, (if authorized), on a monthly basis by applicable labor category, and the total DPLH, including those in (4) below, estimated to complete the task.
- (3) The travel and material estimate.
- (4) An estimate for subcontractors and consultants; including the DPLH, if applicable.
- (5) Estimated computer use time required, if applicable.
- (6) Other pertinent information, indirect costs, consultants, inter-divisional transfers, etc.
- (7) The total estimated cost and the proposed maximum award fee or fixed fee for completion of the Task Order. For Fixed Price Task Orders the Contractor will provide a total firm fixed price.

The Contractor's Task Management Plan is subject to the review of the Contracting Officer or designee. After a Task Order is issued, if the Contractor becomes aware that the estimated cost or DPLH differs from the Contractor's Task Management Plan by more than 10% (more than + or - 10% variance) then the Contractor shall promptly submit to the Contracting Officer or designee a revised Task Management Plan with explanatory notes.

This ordering procedure is of a lesser order of precedence than the "Limitation of Cost," "Limitation of Funds," "Completion Dates," "Term of Contract," or "Estimated Level of Effort" clauses of the contract. The Contractor is not authorized to incur costs on Task Orders which are not in compliance with any of those clauses of the contract.

**H.13 REPRESENTATIONS, CERTIFICATIONS AND OTHER STATEMENTS OF THE OFFEROR (JUNE 1998)**

The Representations, Certifications and Other Statements of the Offeror for this contract are hereby incorporated by reference.

**H.14 MINIMUM WAGE DETERMINATION AND FRINGE BENEFITS (NOV 1997)**

In the performance of this contract the Contractor shall comply with the requirements of U.S. Department of Labor Wage Determination Numbers 1994-2574 R14, dated 2/25/2002 and 1994-2452 R15, dated 6/2/2003. A copy of the Wage Determinations are attached to this contract (see Part III, Section J, Attachment D).

**H.15 DISPLACED EMPLOYEE HIRING PREFERENCE (MAY 2003)**

- (a) Definition: Eligible employee means a current or former employee of the Government, a Contractor or Subcontractor employed at a Department of Energy Facility (1) whose position of employment has been, or will be, involuntarily terminated (except if terminated for cause); (2) who has also met the eligibility criteria contained in the Department of Energy guidance for Contractor work force restructuring, as may be amended or supplemented from time to time, and (3) who is qualified for a particular job vacancy with the Department or one of its Contractors with respect to work under its contract with the Department at the time the particular position is available.
- (b) Consistent with the Department of Energy guidance for Contractor work force restructuring, as may be amended or supplemented from time to time, the Contractor agrees that it will provide a preference in hiring to an eligible employee to the extent practicable to work performed under this contract.
- (c) The requirements of this clause shall be included in subcontracts at any tier (except for subcontracts for commercial items pursuant 41 U.S.C. 403) expected to exceed \$500,000.

**H.16 CONTRACTOR INTERFACE WITH OTHER CONTRACTORS AND/OR GOVERNMENT EMPLOYEES (MAY 2001)**

The Contractor shall cooperate fully with all other on-site DOE Contractors (including, but not limited to, support service, architect and engineering, janitorial, computer operation Contractors, or consultants) and Government employees, and carefully fit its own work to such other work as may be directed by the Contracting Officer or the Principal Contracting Officers Representative. The Contractor shall not commit, or permit, any act which will interfere with the performance of work by any other Contractor or by Government employees.

**H.17 INSURANCE -- MINIMUM REQUIREMENTS (JULY 2000)**

The Contractor shall provide all insurance necessary to fully protect the Government from all claims arising out of the performance of this contract and/or arising from the acts of their employees, business invitees or licensees, and will be required to furnish evidence of such insurance before commencing operations hereunder. The limits of the insurer's liability listed below are minimum requirements of insurance to be carried by the Contractor; however, such limits will not be deemed to limit the Contractor's liability to the Government.

The required amount of insurance to be carried by the Contractor under this section may be changed upon the Government's written notice to the Contractor.

**(a) Worker's Compensation and Employer's Liability.**

Contractors are required to comply with applicable Federal and State workers' compensation and occupational disease statutes. If occupational diseases are not compensable under those statutes, they shall be covered under the employer's liability section of the insurance policy, except when contract operations are so commingled with a Contractor's commercial operations that it would not be practical to require this coverage. Employer's liability coverage of at least \$100,000 shall be required.

**(b) General Liability.**

The Contractor shall obtain Bodily injury liability insurance coverage written on the comprehensive form of policy of at least \$500,000 per occurrence.

**(c) Automobile Liability.**

The Contractor shall obtain Automobile liability insurance written on the comprehensive form of policy. The policy shall provide for bodily injury and property damage liability covering the operation of all automobiles (including Government-Furnished vehicles operated by the Contractor's personnel) used in connection with performing the contract. At a minimum, coverage of at least \$200,000 per person and \$500,000 per occurrence for bodily injury and \$20,000 per occurrence for property damage shall be required.

**H.18 COMMUNITY COMMITMENT (JUNE 2003)**

It is the policy of the National Energy Technology Laboratory (NETL) to be a constructive partner in the geographic region in which NETL conducts its business. The basic elements of this policy include: (1) recognizing the diverse interests of the region and its stakeholders; (2) engaging regional stakeholders in issues and concerns of mutual interest; and (3) recognizing that giving back to the community is a worthwhile business practice. Accordingly, the Contractor agrees that its business operations and performance under the contract will be consistent with the intent of the policy and elements set forth above.

**H.19 PERFORMANCE BASED AWARD FEE****(a) AWARD FEE DETERMINATION**

- (i) The Government shall, at the conclusion of each evaluation period, evaluate the Contractor's performance for a determination of performance based award fee earned. The Government will validate, by appropriate means, the information in the Contractor's self evaluation.
- (ii) The Contractor agrees that the determination of performance based award fee earned will be made solely by the Government FDO and such determination is binding on both parties.
- (iii) The evaluation of the Contractor's performance shall be in accordance with the Government's Performance Evaluation Plan (PEP) as indicated in Section H, clause H.20 entitled "Performance Evaluation Plan (JUNE 2003)". The Contractor shall be promptly advised in writing of the FDO's determination and the reasons why the performance fee was or was not earned. While it is recognized that the basis for determination of the fee shall be the evaluation by the Government in accordance with the PEP, the FDO may also consider any information available to him or her which relates to the Contractor's performance of contract and order requirements, regardless of whether or not those requirements are specifically identified in the PEP. To the extent the Contractor does not perform those requirements, the FDO may reduce the fee determination. In the event that the Contractor's performance is considered unacceptable in any area of performance which is specified in the Performance Evaluation Plan, even if no weight or fee is specifically assigned to the particular performance area, the FDO may at his/her sole discretion determine the Contractor's overall performance to be unacceptable, and accordingly may withhold the entire performance fee for the evaluation period.
- (iv) Any unearned award fee from each evaluation period shall not be eligible to be earned in any future period(s).

**(b) CALCULATION OF AVAILABLE AWARD FEE**

The available fee pool will be established on each cost plus award fee task order issued under this contract prior to the beginning of the evaluation period based on the Contractor's proposed task management plan(s). The pool will be expressed as a discreet dollar amount, not as a percentage of plan and will be based on the amount negotiated and agreed upon. Upon completion of the review and adjustment process identified in paragraph (c) below, the plan, as adjusted, will be used as the basis for establishing the available fee pool for the next evaluation period.

**(c) REVIEW AND ADJUSTMENT OF AVAILABLE AWARD FEE**

A meeting with the COR, CO, and Contractor will be held immediately following release of the Cost Management Report (CMR) for the fourth month of the evaluation period to review, on a task order by task order basis, any significant variances between planned costs and actual costs incurred. The COR and the Contractor will provide the CO with information concerning the variance(s) such that a determination may be made as to whether an adjustment in the fee pool for a particular task order is appropriate. Variances between planned and actual costs in task order performance are assumed to fall into one of the following three categories:

- (i) Actuals are less than planned due Contractor management practices and cost saving efforts. No adjustment to the fee pool would be justifiable in this case. Overruns attributable to the Contractor will not increase the available fee pool.
- (ii) The work schedule, for whatever reason, has slipped, causing the work and its associated costs to move to a future performance period. In this case, the fee dollars should migrate with the work and a straight-line adjustment to the available fee would be appropriate.
- (iii) Actuals may underrun plan due to imprecise or changing scope. Some adjustment to the pool should be made, but a straight line adjustment may not be appropriate. Overruns that can be attributed to scope issues may result in an increase to the available fee pool.

Any adjustments to the available fee pool will be incorporated into a modification prior to the closing of the evaluation period.

**H.20 PERFORMANCE EVALUATION PLAN (JUNE 2003)**

The Contractor's performance will be evaluated in accordance with Section J, Attachment C, Performance Evaluation Plan. The Plan has been unilaterally established by the Government. The Plan includes the criteria to be considered under each area evaluated and the percentage of award fee available for each area. The Plan may be revised unilaterally by the Government with notification of the change(s) provided to the Contractor at least fifteen (15) calendar days prior to the start of the evaluation period to which the change will apply. The Plan may be revised bilaterally anytime throughout performance of the contract. The Government may seek Contractor input in the development of changes to the Plan.

**H.21 NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) -- PRIOR APPROVALS (JUNE 2001)**

The National Environmental Policy Act of 1969 (NEPA) requires that all Federal agencies consider the impacts of their projects on the human environment. As part of the DOE's NEPA requirements, the Contractor shall be required to supply to the DOE certain environmental information. DOE funds may only be expended by the Contractor on environmental information/data gathering and analysis activities in support of the NEPA process and/or the development of preliminary designs or drawings, or in a manner consistent with 40 CFR 1506.1, until DOE notifies the Contractor that all NEPA requirements have been satisfied. In the event that the Contractor expends its own or third party funds on activities not authorized by this provision, such expenditures are entirely at the Contractor's risk that DOE's NEPA analysis will support such activities.

**H.22 CONTRACTOR PRESS RELEASES (APR 1998)**

The DOE policy and procedure on news releases requires that all Contractor press releases be reviewed and approved by DOE prior to issuance. Therefore, the Contractor shall, at least ten (10) days prior to the planned issue date, submit a draft copy to the Contracting Officer of any planned press releases related to work performed under this contract. The Contracting Officer will then obtain necessary reviews and clearances and provide the Contractor with the results of such reviews prior to the planned issue date.

**H.23 PERMITS AND LICENSES (AUG 1999)**

Within sixty (60) days of award, the Contractor shall submit to the DOE Contracting Officer Representative (COR) a list of ES&H approvals (e.g. permits and licenses) that, in the Contractor's opinion, shall be required to complete the work under this award. This list shall include the topic of the approval being sought, the approving authority, and the expected submit/approval schedule. The COR shall be notified as specific items are added or removed from the list and processed through their approval cycles.

The Contractor agrees to include this clause in their first-tier subcontracts and agrees to enforce the terms of this clause.

**H.24 ENVIRONMENTAL MANAGEMENT SYSTEM POLICY AND ENVIRONMENTAL ASPECT CONSIDERATIONS (ISO 14001) IN NETL CONSTRUCTION AND ON-SITE CONTRACTS (MAR 2003)**

The Contractor must be knowledgeable of NETL Environmental Management System (EMS) policy and Environmental Aspect considerations as these relate to the work to be performed. The Contractor must be aware of NETL's Environmental Aspects and how their work could adversely affect or create additional aspects. Specific information on NETL's system and policy can be accessed through NETL's internet address (<http://www.netl.doe.gov>).

Specifically, NETL Procedure 450.4-9 (Management of Environment, Safety and Health Aspects of Contracts and Financial Assistance Awards) and NETL Procedure 440.4-12 (ES&H Requirements for Off-Site Contractors Working at NETL) must be followed, as applicable. In addition, the following DOE/NETL form must be completed for on-site activities: Significant Environmental Impact Scoring Matrix (NETL Form 450.1-2) and ISO-14001 Screening Analysis Questionnaire (NETL Form 450.1-4).

**H.25 ENVIRONMENT, SAFETY, AND HEALTH -- ON-SITE SERVICE CONTRACTS (MAR 2003)**

- (a) The Contractor shall take all reasonable precautions in the performance of the work under this contract to protect the safety and health of his/her employees, DOE/NETL employees, and the public, and to prevent damage to the environment and DOE/NETL-owned materials, supplies, equipment, facilities, and any other DOE/NETL-owned property.
- (b) The Contractor shall comply, as a minimum, with the requirements of DOE/NETL's environment, safety, and health (ES&H) programs as implemented through DOE and its support Contractor staff. These programs are based on implementing DOE/NETL's Focused-Standards List, which is compendium of applicable Federal, state, and local regulations; consensus standards; and DOE directives. In particular, the Contractor shall, as a minimum, comply with the procedural, record-keeping, and reporting requirements of these DOE/NETL's ES&H programs and their supporting DOE/NETL's directives. The major reporting requirements are outlined in DOE Order 231.1, Environment, Safety, and Health Reporting, current version. Where conflict exists among the standards' requirements, the most protective shall be adopted, unless relief is provided by the CO. In order to provide consistent application of ES&H requirements across the DOE/NETL sites, the Contractor shall, to the maximum extent possible, utilize existing DOE/NETL directives.
- (c) The Contractor shall generate and implement an integrated safety management (ISM) plan describing how the Contractor will implement ISM philosophy, as outlined in DOE P 450.4, Safety Management Policy (current version) and Integrated Safety Management System Guide, DOE G 450.4-1, Volumes 1 and 2



(current version) into the planning, budgeting, execution, and assessment of work activities. The plan shall provide (1) a process approach to the integration of ISM's five functions (i.e. defining the scope of work, analyzing the hazards, developing and implementing controls, performing work safely, and ensuring performance) into its everyday work activities, and (2) a specific management approach to demonstrate ISM's seven guiding principles (i.e. workforce responsibility and accountability; clear roles, responsibilities and authorities; competence commensurate with responsibilities, balanced priorities, identification of ES&H standards and requirements; hazard controls tailored to work being performed; and work authorization). The Contractor shall discuss in this plan how the execution of the plan will successfully and cost-effectively integrate with NETL's own ISM, ES&H, and EMS/ISO programs. The Contractor shall submit the plan to the Contracting Officer for review and approval within 30 days after the date of contract award. Performance metrics shall be included in the Plan. This plan shall be updated on an annual basis.

- (d) The Contractor shall adhere to applicable sections of DOE Order 450.1, Environmental Protection Program, current version (see <http://www.directives.doe.gov/serieslist.html> to access DOE Orders). The Contractor shall be knowledgeable of the specific NETL Environmental Management System (EMS) as outlined in NETL Order 450.1 - Environmental Management System, current version, and its requirements, including NETL's EMS policy, environmental aspects, environmental objectives, and environmental targets. In particular, the Contractor shall relate this information to their work to be performed in order to proactively implement NETL's environmental policy (i.e., prevent pollution, comply with ES&H regulations, improve continually, conduct safety analysis and reviews, and minimize wastes) and to manage the environmental aspects that are applicable to the planning and execution of their work. In addition, the following DOE/NETL forms must be completed for general and unique onsite activities: Significant Environmental Impact Scoring Matrix (NETL Form 450.1-2) and ISO 14001 Screening Analysis Questionnaire (NETL Form 450.1-4). Specific information on NETL's EMS and policy can be accessed through NETL's Internet address (<http://www.netl.doe.gov>).
- (e) The Contractor shall follow the applicable NETL directive(s) on conducting safety analysis and reviews (e.g., NETL Procedure 421.1-1, R&D Safety Analysis and Review System; NETL Procedure 421.1-2, Support Operations Safety Analysis and Review System, and/or NETL Procedure 421.1-3, Facility Safety Analysis and Review System, current version), and shall implement the requirements resulting from such analysis and review.
- (f) Contractor personnel shall take NETL ES&H mandatory training (e.g., mandatory due to the nature of job being performed or due to site-wide requirements). The Contractor shall give safety briefings to personnel and maintain records of attendance for periodic safety briefings conducted by supervisors.
- (g) The CO shall notify the Contractor, in writing, of any non-compliance with the provisions of this clause. After receipt of such notice, the Contractor shall immediately begin to take corrective action. In the event that the Contractor fails to comply with DOE/NETL's environment, safety, and health requirements, the CO may, without prejudice to any other legal or contractual rights of DOE, issue an order stopping all or any part of the work; thereafter, a start order for work resumption may be issued by the CO. The Contractor shall make no claim for an extension of time, or for compensation or damages by reason of, or in conjunction with, such work stoppage.
- (h) The Contractor shall include this environment, safety and health clause in all subcontracts requiring work at the DOE/NETL sites. However, such flow down of responsibility shall not relieve the Contractor of its obligation to assure compliance with the provisions of this clause.
- (i) The DOE or its authorized representative shall have the right to inspect any areas or facilities occupied by the Contractor.
- (j) The Contractor shall provide record keeping information, such as raw data, interpreted results, reports, correspondence, and other materials proving regulatory and standard compliance, according to DOE records management schedules.
- (k) Accidents or incidents resulting in human injury and/or property damage are to be reported immediately to

the CO or his/her representative. Notification, recording, and reporting requirements for accidents and/or incidents shall be conducted in accordance with 29 CFR 1904 and 1910. The CO or his/her representative shall be provided with copies of all OSHA-required documentation within 10 days of the accident and/or incident.

- (l) The Contractor shall maintain an accurate record of on-site hours worked and shall provide this information to the CO or his/her representative upon request.
- (m) The Contractor shall collect metrics on environment, safety, and health performance as determined by NETL in addition to those contained in their ISM Plan [NOTE: indicators will change with time. The following indicators are examples of those recently incorporated in site-support contracts]: Recordable Injury/Illness Rate (total number of OSHA-defined recordable injuries and illnesses/total hours worked); Lost Work Day Case Rate (total number of OSHA-defined lost work day cases/total hours worked); Occupational safety and health cost index (approximate amount of dollars lost [indirect and direct] per 100 hours worked for all injuries/illnesses), and Hazardous Waste Generated (total cubic feet of hazardous waste shipped).
- (n) The Contractor shall abide by the requirements of NETL Procedure 541.2-1A, Affirmative Procurement Program (current version) that establishes "Green Procurement".
- (o) NETL depends on volunteers to staff its emergency response organization (ERO), including the hazmat/rescue team. The Contractor shall allow participation of employees in NETL's site-wide emergency response program. The degree and quality of participation may be used as a performance metric. Participants shall be allowed the time necessary to fulfill ERO training obligations. The Contractor whose employees participate in emergency response functions shall be responsible for providing any additional liability insurance or supplemental insurance deemed appropriate by the Contractor for the ERO positions that their employees occupy.

#### **H.26 COMPLIANCE WITH APPLICABLE FEDERAL, STATE AND LOCAL REQUIREMENTS INCLUDING SAFETY & HEALTH AND ENVIRONMENTAL PROTECTION (SEP 2003)**

In performing work under this contract, the Contractor shall comply with all relevant federal, state, and local statutes, ordinances, laws, and regulations, including those covering safety, health and environmental protection.

The Contractor agrees to include this clause in all subcontracts and agrees to enforce the terms of this clause.

#### **H.27 INDEMNITY -- ENVIRONMENTAL, HEALTH AND SAFETY VIOLATIONS (MAR 2003)**

Should the Contractor, in the performance of work under this contract, fail to comply with the requirements of environmental permits, local laws or regulations, state laws or regulations, Federal laws or regulations, the Statement of Work and its Attachments, or a Task Order and cause any environmental, health, or safety liability to be assessed against the Government, the Contractor agrees to indemnify the Government for this liability. This requirement shall be placed in all subcontracts awarded by the Contractor under this contract. The provisions of this clause are limited to liabilities not otherwise addressed by other provisions of this contract.

#### **H.28 HAZARDOUS WASTES MANIFESTS AND LABELS (MAR 2003)**

The Contractor shall not identify, on wastes manifests or container labels or otherwise, the DOE or the NETL as the owner or generator of hazardous wastes without written permission, signed by either the NETL Director or both the NETL Contracting Officer and the NETL ES&H Division Director, unless expressly and specifically permitted by the contract.

#### **H.29 LOBBYING RESTRICTION (ENERGY AND WATER DEVELOPMENT APPROPRIATIONS ACT, 2003) (JULY 2003)**

The Contractor agrees that none of the funds obligated on this award shall be expended, directly or indirectly, to

influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

A copy of the DOE "Lobbying Brochure" which provides a summary of the statutory and regulatory restrictions regarding lobbying activities for Federal Contractors can be found at

<http://professionals.pr.doe.gov/ma5/MA-5Web.nsf/Procurement/Lobbying+Brochure?OpenDocument>

### **H.30 CONSERVATION OF UTILITIES (JUNE 2003)**

The Contractor shall instruct Contractor employees in utilities conservation practices. The Contractor shall operate under conditions that preclude the waste of utilities.

The Contractor shall use lights only in areas where and at the time when work is actually being performed except in those areas essential for purpose of safety and security.

### **H.31 CONFIDENTIALITY OF INFORMATION (MAY 1998)**

To the extent that the work under this contract requires that the Contractor be given access to confidential or proprietary business, technical, or financial information belonging to the Government or other companies, the Contractor shall, after receipt thereof, treat such information as confidential and agree not to appropriate such information to its own use or to disclose such information to third parties unless specifically authorized by the Contracting Officer in writing. The foregoing obligations, however, shall not apply to:

- (a) Information which, at the time of receipt by the Contractor, is in the public domain;
- (b) Information which is published after receipt thereof by the Contractor or otherwise becomes part of the public domain through no fault of the Contractor;
- (c) Information which the Contractor can demonstrate was in his possession at the time of receipt thereof and was not acquired directly or indirectly from the Government or other companies;
- (d) Information which the Contractor can demonstrate was received by it from a third party who did not require the Contractor to hold it in confidence.

The Contractor shall obtain the written agreement, in a form satisfactory to the Contracting Officer, of each employee permitted access, whereby the employee agrees that he will not discuss, divulge or disclose any such information or data to any person or entity except those persons within the Contractor's organization directly concerned with the performance of the contract.

The Contractor agrees, if requested by the Government, to sign an agreement identical, in all material respects, to the provisions of this clause, with each company supplying information to the Contractor under this contract, and to supply a copy of such agreement to the Contracting Officer. From time to time upon request of the Contracting Officer, the Contractor shall supply the Government with reports itemizing information received as confidential or proprietary and setting forth the company or companies from which the Contractor received such information.

The Contractor agrees that upon request by DOE it will execute a DOE-approved agreement with any party whose facilities or proprietary data it is given access to or is furnished, restricting use and disclosure of the data or the information obtained from the facilities. Upon request by DOE, such an agreement shall also be signed by Contractor personnel.

This clause shall flow down to all subcontracts.

**H.32 TRAVEL AND PER DIEM COSTS (FEB 1998)**

Costs incurred by Contractor personnel for travel, including costs of lodging, other subsistence, and incidental expenses, shall be considered to be reasonable and allowable only to the extent that they do not exceed the rates and amounts set by Subchapter I of Chapter 57 of Title 5, United States Code, or by the Administrator of General Services or the President (or his designee) pursuant to any revision of such subchapter; and are allowable pursuant to the "Allowable Cost and Payment" clause, FAR 52.216-7.

Foreign travel shall be subject to DEAR 952.247-70.

**H.33 WORK HOURS****A. WEEKENDS AND RECOGNIZED HOLIDAYS**

The Contractor may be required to work from time to time on federally observed holidays and weekends to meet specific work requirements. The Contractor shall be provided advance notice of at least twenty four (24) hours by the COR for planned work scheduled for federally observed holidays and weekends.

**B. WORK AT HOME**

It is expected that the performance of tasks and activities identified in this SOW will be accomplished primarily on-site. However, the Government may authorize the Contractor to perform work off-site including from the employees home for specific occasions with identified deliverables and with prior approval from the COR. The Contractor must request approval one week in advance. The Contractor shall identify in writing the deliverables the Contractor personnel will be providing.

The Contractor will report to the COR on a monthly basis the following: (1) who worked at home, (2) what work was performed, and (3) total hours worked at home.

**C. ON-CALL SUPPORT**

The Contractor shall provide on-call support on a 24-hour a day, 7 days a week basis for resolving hardware and software problems or providing other emergency support. The Government shall provide the Contractor with the necessary pagers (or other communications equipment) as deemed appropriate by the COR. The Contractor shall respond to any off-hour inquiry/problem from the COR (or their designee) via telephone within sixty (60) minutes of call and have staff on-site within three hours of initial contact, if deemed necessary. NETL operates automated alert systems that may contact the Contractor directly to respond to an off-hour inquiry/problem. The Contractor shall respond to off-hour requirements as necessary to maintain operations and quality services, meet deadlines, and handle emergencies. The Contractor shall notify the COR or designated representative of after hours work.

**D. HOURS OF OPERATION - WEEKDAYS****SERVICE - GOVERNMENT WORK SCHEDULE 0800-1630 EXCEPT AS NOTED BELOW**

Computer Facility Operations	0700-1830 (unattended with personnel available on-site)
LAN/WAN Operations	0700-1830
Info Desk	0700-1830

## **SECTION I - CONTRACT CLAUSES**

**THE FOLLOWING CLAUSES APPLY TO ALL TYPES OF TASK ORDERS ISSUED AGAINST THIS CONTRACT.**

### **I.1 52.252-2 CLAUSES INCORPORATED BY REFERENCE. (FEB 1998)**

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. Also, the full text of a clause may be accessed electronically at this/these address(es):

Federal Acquisition Regulations (Clauses starting with 52): <http://www.arnet.gov/far/index.html>  
 Department of Energy Regulations (Clauses starting with 952): <http://www.netl.doe.gov/business/index.html> or  
<http://professionals.pr.doe.gov> or <http://farsite.hill.af.mil/VFDOEa.HTM>

### **I.2 52.202-1 DEFINITIONS. DEC 2001**

### **I.3 952.202-1 DEFINITIONS**

### **I.4 52.203-3 GRATUITIES. APR 1984**

### **I.5 52.203-5 COVENANT AGAINST CONTINGENT FEES. APR 1984**

### **I.6 52.203-6 RESTRICTIONS ON SUBCONTRACTOR SALES TO THE GOVERNMENT. JUL 1995**

### **I.7 52.203-7 ANTI-KICKBACK PROCEDURES. JUL 1995**

### **I.8 52.203-8 CANCELLATION, RESCISSION, AND RECOVERY OF FUNDS FOR ILLEGAL OR IMPROPER ACTIVITY. JAN 1997**

### **I.9 52.203-10 PRICE OR FEE ADJUSTMENT FOR ILLEGAL OR IMPROPER ACTIVITY. JAN 1997**

### **I.10 52.203-12 LIMITATION ON PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS. JUN 2003**

### **I.11 952.203-70 WHISTLEBLOWER PROTECTION FOR CONTRACTOR EMPLOYEES. DEC 2000**

### **I.12 52.204-4 PRINTED OR COPIED DOUBLE-SIDED ON RECYCLED PAPER. AUG 2000**

### **I.13 52.208-9 CONTRACTOR USE OF MANDATORY SOURCES OF SUPPLY OR SERVICES. FEB 2002**

### **I.14 952.208-70 PRINTING. APR 1984**

### **I.15 52.209-6 PROTECTING THE GOVERNMENT'S INTEREST WHEN SUBCONTRACTING WITH CONTRACTORS DEBARRED, SUSPENDED, OR PROPOSED FOR DEBARMENT. JUL 1995**

### **I.16 52.215-2 AUDIT AND RECORDS - NEGOTIATION. JUN 1999**

### **I.17 52.215-8 ORDER OF PRECEDENCE - UNIFORM CONTRACT FORMAT. OCT 1997**

### **I.18 52.215-10 PRICE REDUCTION FOR DEFECTIVE COST OR PRICING DATA. OCT 1997**

### **I.19 52.215-12 SUBCONTRACTOR COST OR PRICING DATA. OCT 1997**

### **I.20 52.215-15 PENSION ADJUSTMENTS AND ASSET REVERSIONS. DEC 1998**

### **I.21 52.215-18 REVERSION OR ADJUSTMENT OF PLANS FOR POSTRETIREMENT BENEFITS (PRB) OTHER THAN PENSIONS. OCT 1997**

### **I.22 52.215-21 REQUIREMENTS FOR COST OR PRICING DATA OR INFORMATION OTHER THAN COST OR PRICING DATA - MODIFICATIONS. OCT 1997**

### **I.23 52.219-8 UTILIZATION OF SMALL BUSINESS CONCERNS. OCT 2000**

### **I.24 52.219-14 LIMITATIONS ON SUBCONTRACTING. DEC 1996**

### **I.25 52.222-1 NOTICE TO THE GOVERNMENT OF LABOR DISPUTES. FEB 1997**

### **I.26 52.222-3 CONVICT LABOR. (JUN 2003)**

### **I.27 52.222-4 CONTRACT WORK HOURS AND SAFETY STANDARDS ACT - OVERTIME COMPENSATION. SEP 2000**

### **I.28 52.222-21 PROHIBITION OF SEGREGATED FACILITIES. FEB 1999**

### **I.29 52.222-26 EQUAL OPPORTUNITY. APR 2002**

### **I.30 52.222-35 EQUAL OPPORTUNITY FOR SPECIAL DISABLED VETERANS, VETERANS OF THE VIETNAM ERA, AND OTHER ELIGIBLE VETERANS. DEC 2001**

### **I.31 52.222-36 AFFIRMATIVE ACTION FOR WORKERS WITH DISABILITIES. JUN 1998**

### **I.32 52.222-37 EMPLOYMENT REPORTS ON SPECIAL DISABLED VETERANS, VETERANS OF**

**THE VIETNAM ERA, AND OTHER ELIGIBLE VETERANS. DEC 2001****I.33 52.222-41 SERVICE CONTRACT ACT OF 1965, AS AMENDED. MAY 1989****I.34 52.222-43 FAIR LABOR STANDARDS ACT AND SERVICE CONTRACT ACT - PRICE ADJUSTMENT (MULTIPLE YEAR AND OPTION CONTRACTS). MAY 1989****I.35 52.223-3 HAZARDOUS MATERIAL IDENTIFICATION AND MATERIAL SAFETY DATA. JAN 1997****I.36 52.223-5 POLLUTION PREVENTION AND RIGHT-TO-KNOW INFORMATION. AUG 2003****I.37 52.223-6 DRUG-FREE WORKPLACE. MAY 2001****I.38 52.223-10 WASTE REDUCTION PROGRAM. AUG 2000****I.39 52.223-14 TOXIC CHEMICAL RELEASE REPORTING. JUN 2003****I.40 52.224-1 PRIVACY ACT NOTIFICATION. APR 1984****I.41 52.224-2 PRIVACY ACT. APR 1984****I.42 952.224-70 PAPERWORK REDUCTION ACT. APR 1984****I.43 52.225-13 RESTRICTIONS ON CERTAIN FOREIGN PURCHASES. JUN 2003****I.44 52.227-1 AUTHORIZATION AND CONSENT. JUL 1995****I.45 52.227-2 NOTICE AND ASSISTANCE REGARDING PATENT AND COPYRIGHT INFRINGEMENT. AUG 1996****I.46 52.227-6 ROYALTY INFORMATION. APR 1984****I.47 952.227-13 PATENT RIGHTS-ACQUISITION BY THE GOVERNMENT. SEP 1997****I.48 52.227-16 ADDITIONAL DATA REQUIREMENTS. JUN 1987****I.49 52.227-17 RIGHTS IN DATA - - SPECIAL WORKS. JUN 1987****I.50 52.228-5 INSURANCE - WORK ON A GOVERNMENT INSTALLATION. JAN 1997****I.51 52.228-7 INSURANCE - LIABILITY TO THIRD PERSONS. MAR 1996****I.52 52.229-3 FEDERAL, STATE, AND LOCAL TAXES. APR 2003****I.53 52.232-9 LIMITATION ON WITHHOLDING OF PAYMENTS. APR 1984****I.54 52.232-17 INTEREST. JUN 1996****I.55 52.232-18 AVAILABILITY OF FUNDS. APR 1984****I.56 52.232-23 ASSIGNMENT OF CLAIMS. JAN 1986****I.57 52.232-25 PROMPT PAYMENT. FEB 2002****I.58 52.232-33 PAYMENT BY ELECTRONIC FUNDS TRANSFER - CENTRAL CONTRACTOR REGISTRATION. OCT 2003****I.59 52.233-1 DISPUTES. JUL 2002****I.60 952.235-70 KEY PERSONNEL. APR 1994****I.61 52.237-2 PROTECTION OF GOVERNMENT BUILDINGS, EQUIPMENT, AND VEGETATION. APR 1984****I.62 52.237-3 CONTINUITY OF SERVICES. JAN 1991****I.63 52.242-1 NOTICE OF INTENT TO DISALLOW COSTS. APR 1984****I.64 52.242-3 PENALTIES FOR UNALLOWABLE COSTS. MAY 2001****I.65 52.242-13 BANKRUPTCY. JUL 1995****I.66 52.244-5 COMPETITION IN SUBCONTRACTING. DEC 1996****I.67 52.244-6 SUBCONTRACTS FOR COMMERCIAL ITEMS. APR 2003****I.68 52.245-1 PROPERTY RECORDS. APR 1984****I.69 52.246-25 LIMITATION OF LIABILITY - SERVICES. FEB 1997****I.70 52.247-63 PREFERENCE FOR U.S.-FLAG AIR CARRIERS. JUN 2003****I.71 52.247-64 PREFERENCE FOR PRIVATELY OWNED U.S.-FLAG COMMERCIAL VESSELS. APR 2003****I.72 952.247-70 FOREIGN TRAVEL. DEC 2000****I.73 52.249-14 EXCUSABLE DELAYS. APR 1984****I.74 52.251-1 GOVERNMENT SUPPLY SOURCES. APR 1984****I.75 952.251-70 CONTRACTOR EMPLOYEE TRAVEL DISCOUNTS. DEC 2000****I.76 52.253-1 COMPUTER GENERATED FORMS. JAN 1991**

**I.77 52.204-7 CENTRAL CONTRACTOR REGISTRATION. (OCT 2003)**

(a) Definitions. As used in this clause-

"Central Contractor Registration (CCR) database" means the primary Government repository for Contractor information required for the conduct of business with the Government.

"Data Universal Numbering System (DUNS) number" means the 9-digit number assigned by Dun and Bradstreet, Inc. (D&B) to identify unique business entities.

"Data Universal Numbering System +4 (DUNS+4) number" means the DUNS number assigned by D&B plus a 4-character suffix that may be assigned by a business concern. (D&B has no affiliation with this 4-character suffix.) This 4-character suffix may be assigned at the discretion of the business concern to establish additional CCR records for identifying alternative Electronic Funds Transfer (EFT) accounts (see the FAR at Subpart 32.11) for the same parent concern.

"Registered in the CCR database" means that-

- (1) The Contractor has entered all mandatory information, including the DUNS number or the DUNS+4 number, into the CCR database; and
- (2) The Government has validated all mandatory data fields and has marked the record "Active".

(b)

(1) By submission of an offer, the offeror acknowledges the requirement that a prospective awardee shall be registered in the CCR database prior to award, during performance, and through final payment of any contract, basic agreement, basic ordering agreement, or blanket purchasing agreement resulting from this solicitation.

(2) The offeror shall enter, in the block with its name and address on the cover page of its offer, the annotation "DUNS" or "DUNS +4" followed by the DUNS or DUNS +4 number that identifies the offeror's name and address exactly as stated in the offer. The DUNS number will be used by the Contracting Officer to verify that the offeror is registered in the CCR database.

(c) If the offeror does not have a DUNS number, it should contact Dun and Bradstreet directly to obtain one.

(1) An offeror may obtain a DUNS number-

- (i) If located within the United States, by calling Dun and Bradstreet at 1-866-705-5711 or via the Internet at <http://www.dnb.com>; or
- (ii) If located outside the United States, by contacting the local Dun and Bradstreet office.

(2) The offeror should be prepared to provide the following information:

- (i) Company legal business.
- (ii) Tradestyle, doing business, or other name by which your entity is commonly recognized.
- (iii) Company Physical Street Address, City, State, and Zip Code.
- (iv) Company Mailing Address, City, State and Zip Code (if separate from physical).
- (v) Company Telephone Number.
- (vi) Date the company was started.
- (vii) Number of employees at your location.
- (viii) Chief executive officer/key manager.
- (ix) Line of business (industry).
- (x) Company Headquarters name and address (reporting relationship within your entity).

(d) If the Offeror does not become registered in the CCR database in the time prescribed by the Contracting Officer, the Contracting Officer will proceed to award to the next otherwise successful registered Offeror.

(e) Processing time, which normally takes 48 hours, should be taken into consideration when registering. Offerors who are not registered should consider applying for registration immediately upon receipt of this solicitation.

(f) The Contractor is responsible for the accuracy and completeness of the data within the CCR database, and for any liability resulting from the Government's reliance on inaccurate or incomplete data. To remain registered in the CCR database after the initial registration, the Contractor is required to review and update on an annual basis from the date of initial registration or subsequent updates its information in the CCR database to ensure it is current, accurate and complete. Updating information in the CCR does not alter the terms and conditions of this contract and is not a substitute for a properly executed contractual document.

(g)

(1)

(i) If a Contractor has legally changed its business name, "doing business as" name, or division name (whichever is shown on the contract), or has transferred the assets used in performing the contract, but has not completed the necessary requirements regarding novation and change-of-name agreements in Subpart 42.12, the Contractor shall provide the responsible Contracting Officer a minimum of one business day's written notification of its intention to

(A) change the name in the CCR database;

(B) comply with the requirements of Subpart 42.12 of the FAR; and

(C) agree in writing to the timeline and procedures specified by the responsible Contracting Officer. The Contractor must provide with the notification sufficient documentation to support the legally changed name.

(ii) If the Contractor fails to comply with the requirements of paragraph (g)(1)(i) of this clause, or fails to perform the agreement at paragraph (g)(1)(i)(C) of this clause, and, in the absence of a properly executed novation or change-of-name agreement, the CCR information that shows the Contractor to be other than the Contractor indicated in the contract will be considered to be incorrect information within the meaning of the "Suspension of Payment" paragraph of the electronic funds transfer (EFT) clause of this contract.

(2) The Contractor shall not change the name or address for EFT payments or manual payments, as appropriate, in the CCR record to reflect an assignee for the purpose of assignment of claims (see FAR Subpart 32.8, Assignment of Claims). Assignees shall be separately registered in the CCR database. Information provided to the Contractor's CCR record that indicates payments, including those made by EFT, to an ultimate recipient other than that Contractor will be considered to be incorrect information within the meaning of the "Suspension of payment" paragraph of the EFT clause of this contract.

(h) Offerors and Contractors may obtain information on registration and annual confirmation requirements via the internet at <http://www.ccr.gov> or by calling 1-888-227-2423, or 269-961-5757.

#### **I.78 952.209-72 ORGANIZATIONAL CONFLICTS OF INTEREST. (JUN 1997)**

(a) Purpose. The purpose of this clause is to ensure that the Contractor (1) is not biased because of its financial, contractual, organizational, or other interests which relate to the work under this contract, and (2) does not obtain any unfair competitive advantage over other parties by virtue of its performance of this contract.

(b) Scope. The restrictions described herein shall apply to performance or participation by the Contractor and any of its affiliates or their successors in interest (hereinafter collectively referred to as "contractor") in the activities covered by this clause as a prime Contractor, subcontractor, cosponsor, joint venturer, consultant, or in any similar capacity. For the purpose of this clause, affiliation occurs when a business concern is controlled by or has the power to control another or when a third party has the power to control both.

(1) Use of Contractor's Work Product.



(i) The Contractor shall be ineligible to participate in any capacity in Department contracts, subcontracts, or proposals therefore (solicited and unsolicited) which stem directly from the Contractor's performance of work under this contract for a period of two (2) years after the completion of this contract. Furthermore, unless so directed in writing by the Contracting Officer, the Contractor shall not perform any advisory and assistance services work under this contract on any of its products or services or the products or services of another firm if the Contractor is or has been substantially involved in their development or marketing. Nothing in this subparagraph shall preclude the Contractor from competing for follow-on contracts for advisory and assistance services.

(ii) If, under this contract, the Contractor prepares a complete or essentially complete statement of work or specifications to be used in competitive acquisitions, the Contractor shall be ineligible to perform or participate in any capacity in any contractual effort which is based on such statement of work or specifications. The Contractor shall not incorporate its products or services in such statement of work or specifications unless so directed in writing by the Contracting Officer, in which case the restriction in this subparagraph shall not apply.

(iii) Nothing in this paragraph shall preclude the Contractor from offering or selling its standard and commercial items to the Government.

(2) Access to and use of information.

(i) If the Contractor, in the performance of this contract, obtains access to information, such as Department plans, policies, reports, studies, financial plans, internal data protected by the Privacy Act of 1974 (5 U.S.C. 552a), or data which has not been released or otherwise made available to the public, the Contractor agrees that without prior written approval of the Contracting Officer it shall not:

(A) use such information for any private purpose unless the information has been released or otherwise made available to the public;

(B) compete for work for the Department based on such information for a period of six (6) months after either the completion of this contract or until such information is released or otherwise made available to the public, whichever is first;

(C) submit an unsolicited proposal to the Government which is based on such information until one year after such information is released or otherwise made available to the public; and

(D) release such information unless such information has previously been released or otherwise made available to the public by the Department.

(ii) In addition, the Contractor agrees that to the extent it receives or is given access to proprietary data, data protected by the Privacy Act of 1974 (5 U.S.C. 552a), or other confidential or privileged technical, business, or financial information under this contract, it shall treat such information in accordance with any restrictions imposed on such information.

(iii) The Contractor may use technical data it first produces under this contract for its private purposes consistent with paragraphs (b)(2)(i) (A) and (D) of this clause and the patent, rights in data, and security provisions of this contract.

(c) Disclosure after award.

(1) The Contractor agrees that, if changes, including additions, to the facts disclosed by it prior to award of this contract, occur during the performance of this contract, it shall make an immediate and full disclosure of such changes in writing to the Contracting Officer. Such disclosure may include a description of any action which the Contractor has taken or proposes to take to avoid, neutralize, or mitigate any resulting conflict of interest. The Department may, however, terminate the contract for convenience if it deems such termination to be in the best interest of the Government.

(2) In the event that the Contractor was aware of facts required to be disclosed or the existence of an actual or potential organizational conflict of interest and did not disclose such facts or such conflict of interest to the Contracting Officer, DOE may terminate this contract for default.

(d) Remedies. For breach of any of the above restrictions or for nondisclosure or misrepresentation of any facts required to be disclosed concerning this contract, including the existence of an actual or potential organizational conflict of interest at the time of or after award, the Government may terminate the contract for default, disqualify the Contractor from subsequent related contractual efforts, and pursue such other remedies as may be permitted by law or this contract.

(e) Waiver. Requests for waiver under this clause shall be directed in writing to the Contracting Officer and shall include a full description of the requested waiver and the reasons in support thereof. If it is determined to be in the best interests of the Government, the Contracting Officer may grant such a waiver in writing.

**I.79 52.216-19 ORDER LIMITATIONS. (OCT 1995)**

(a) *Minimum order.* When the Government requires supplies or services covered by this contract in an amount of less than \$5,000, the Government is not obligated to purchase, nor is the Contractor obligated to furnish, those supplies or services under the contract.

(b) *Maximum order.* The Contractor is not obligated to honor -

(1) Any order for a single item in excess of \$50,000,000.00;

(2) Any order for a combination of items in excess of \$75,000,000.00; or

(3) A series of orders from the same ordering office within 10 days that together call for quantities exceeding the limitation in subparagraph (b)(1) or (2) of this section.

(c) If this is a requirements contract (*i.e.*, includes the Requirements clause at subsection 52.216-21 of the Federal Acquisition Regulation (FAR)), the Government is not required to order a part of any one requirement from the Contractor if that requirement exceeds the maximum-order limitations in paragraph (b) of this section.

(d) Notwithstanding paragraphs (b) and (c) of this section, the Contractor shall honor any order exceeding the maximum order limitations in paragraph (b), unless that order (or orders) is returned to the ordering office within 10 days after issuance, with written notice stating the Contractor's intent not to ship the item (or items) called for and the reasons. Upon receiving this notice, the Government may acquire the supplies or services from another source.

**I.80 52.216-22 INDEFINITE QUANTITY. (OCT 1995)**

(a) This is an indefinite-quantity contract for the supplies or services specified, and effective for the period stated, in the Schedule. The quantities of supplies and services specified in the Schedule are estimates only and are not purchased by this contract.

(b) Delivery or performance shall be made only as authorized by orders issued in accordance with the

Ordering clause. The Contractor shall furnish to the Government, when and if ordered, the supplies or services specified in the Schedule up to and including the quantity designated in the Schedule as the "maximum." The Government shall order at least the quantity of supplies or services designated in the Schedule as the "minimum."

(c) Except for any limitations on quantities in the Order Limitations clause or in the Schedule, there is no limit on the number of orders that may be issued. The Government may issue orders requiring delivery to multiple destinations or performance at multiple locations.

(d) Any order issued during the effective period of this contract and not completed within that period shall be completed by the Contractor within the time specified in the order. The contract shall govern the Contractor's and Government's rights and obligations with respect to that order to the same extent as if the order were completed during the contract's effective period; *provided*, that the Contractor shall not be required to make any deliveries under this contract after more than six (6) months after contract completion date.

#### **I.81 52.219-70XX SECTION 8(A) DIRECT AWARDS (JUNE 1998)**

This contract is issued as a direct award between the contracting activity and the 8(a) Contractor pursuant to a Memorandum of Understanding between the Small Business Administration (SBA) and the Department of Energy (DOE). SBA retains responsibility for 8(a) certification, 8(a) eligibility determinations and related issues, and providing counseling and assistance to the 8(a) Contractor under the 8(a) program. The cognizant SBA district office is:

[TBD TO BE COMPLETED BY CONTRACTING OFFICER AT TIME OF AWARD. The SBA District office and address can be found at this Internet address: <http://www.sba.gov/regions/states.html>

DOE is responsible for administering the contract and taking any action on behalf of the Government under the terms and conditions of the contract. However, DOE shall give advance notice to the SBA before it issues a final notice terminating performance, either in whole or in part, under the contract. DOE shall also coordinate with SBA prior to processing any novation agreement. DOE may assign contract administration functions to a contract administration office.

The Contractor agrees:

1. to notify the Contracting Officer, simultaneously with its notification to SBA (as required by SBA's 8(a) regulations), when the owner or owners upon whom 8(a) eligibility is based plan to relinquish ownership or control of the concern. Consistent with 15 U.S.C. 637(a)(21), transfer of ownership or control shall result in termination of the contract for convenience, unless SBA waives the requirement for termination prior to the actual relinquishing of ownership or control.
2. to adhere to the requirements of 52.219-14, Limitations on Subcontracting.

#### **I.82 52.219-18 NOTIFICATION OF COMPETITION LIMITED TO ELIGIBLE 8(A) CONCERNS. (JUN 2003)(DEVIATION)**

This clause is modified in paragraph (c) as a result of a Memorandum of Understanding between DOE and the SBA.

- (a) Offers are solicited only from small business concerns expressly certified by the Small Business Administration (SBA) for participation in the SBA's 8(a) Program and which meet the following criteria at the time of submission of offer -
  - (1) The Offeror is in conformance with the 8(a) support limitation set forth in its approved business plan; and
  - (2) The Offeror is in conformance with the Business Activity Targets set forth in its approved

business plan or any remedial action directed by the SBA.

- (b) By submission of its offer, the Offeror represents that it meets all of the criteria set forth in paragraph (a) of this clause.
- (c) Any award resulting from this solicitation will be made directly by the Contracting Officer to the successful 8(a) offeror selected through the evaluation criteria set forth in this solicitation.
- (d)
  - (1) "Agreement." A small business concern submitting an offer in its own name shall furnish, in performing the contract, only end items manufactured or produced by small business concerns in the United States or its outlying areas. If this procurement is processed under simplified acquisition procedures and the total amount of this contract does not exceed \$25,000, a small business concern may furnish the product of any domestic firm. This paragraph does not apply to construction or service contracts.
  - (2) The [TBDinsert name of SBA's Contractor] will notify the [ TBDinsert name of Contracting Agency] Contracting Officer in writing immediately upon entering an agreement (either oral or written) to transfer all or part of its stock or other ownership interest to any other party.

**I.83 52.222-2 PAYMENT FOR OVERTIME PREMIUMS. (JUL 1990)**

(a) The use of overtime is authorized under this contract if the overtime premium does not exceed **zero** or the overtime premium is paid for work -

- (1) Necessary to cope with emergencies such as those resulting from accidents, natural disasters, breakdowns of production equipment, or occasional production bottlenecks of a sporadic nature;
- (2) By indirect-labor employees such as those performing duties in connection with administration, protection, transportation, maintenance, standby plant protection, operation of utilities, or accounting;
- (3) To perform tests, industrial processes, laboratory procedures, loading or unloading of transportation conveyances, and operations in flight or afloat that are continuous in nature and cannot reasonably be interrupted or completed otherwise; or
- (4) That will result in lower overall costs to the Government.

(b) Any request for estimated overtime premiums that exceeds the amount specified above shall include all estimated overtime for contract completion and shall -

- (1) Identify the work unit; *e.g.*, department or section in which the requested overtime will be used, together with present workload, staffing, and other data of the affected unit sufficient to permit the Contracting Officer to evaluate the necessity for the overtime;
- (2) Demonstrate the effect that denial of the request will have on the contract delivery or performance schedule;
- (3) Identify the extent to which approval of overtime would affect the performance or payments in connection with other Government contracts, together with identification of each affected contract; and
- (4) Provide reasons why the required work cannot be performed by using multishift operations or by employing additional personnel.

**I.84 52.227-23 RIGHTS TO PROPOSAL DATA (TECHNICAL). (JUN 1987)**

Except for data contained on pages [TBD ], it is agreed that as a condition of award of this contract, and notwithstanding the conditions of any notice appearing thereon, the Government shall have unlimited rights (as defined in the "Rights in Data – Special Works" clause contained in this contract) in and to the technical data contained in the proposal dated [TBD ], upon which this contract is based.

**I.85 52.232-19 AVAILABILITY OF FUNDS FOR THE NEXT FISCAL YEAR. (APR 1984)**

Funds are not presently available for performance under this contract beyond the end of the current fiscal year. The Government's obligation for performance of this contract beyond that date is contingent upon the availability of appropriated funds from which payment for contract purposes can be made. No legal liability on the part of the Government for any payment may arise for performance under this contract beyond the end of the current fiscal year, until funds are made available to the Contracting Officer for performance and until the Contractor receives notice of availability, to be confirmed in writing by the Contracting Officer.

**I.86 52.244-2 SUBCONTRACTS. (AUG 1998)**

(a) *Definitions.* As used in this clause -

"Approved purchasing system" means a Contractor's purchasing system that has been reviewed and approved in accordance with Part 44 of the Federal Acquisition Regulation (FAR).

"Consent to subcontract" means the Contracting Officer's written consent for the Contractor to enter into a particular subcontract.

"Subcontract" means any contract, as defined in FAR Subpart 2.1, entered into by a subcontractor to furnish supplies or services for performance of the prime contract or a subcontract. It includes, but is not limited to, purchase orders, and changes and modifications to purchase orders.

(b) This clause does not apply to subcontracts for special test equipment when the contract contains the clause at FAR 52.245-18, Special Test Equipment.

(c) When this clause is included in a fixed-price type contract, consent to subcontract is required only on unpriced contract actions (including unpriced modifications or unpriced delivery orders), and only if required in accordance with paragraph (d) or (e) of this clause.

(d) If the Contractor does not have an approved purchasing system, consent to subcontract is required for any subcontract that -

(1) Is of the cost-reimbursement, time-and-materials, or labor-hour type; or

(2) Is fixed-price and exceeds -

(i) For a contract awarded by the Department of Defense, the Coast Guard, or the National Aeronautics and Space Administration, the greater of the simplified acquisition threshold or 5 percent of the total estimated cost of the contract; or

(ii) For a contract awarded by a civilian agency other than the Coast Guard and the National Aeronautics and Space Administration, either the simplified acquisition threshold or 5 percent of the total estimated cost of the contract.

(e) If the Contractor has an approved purchasing system, the Contractor nevertheless shall obtain the Contracting Officer's written consent before placing the following subcontracts: All subcontracts in excess of \$10,000.00

(f)(1) The Contractor shall notify the Contracting Officer reasonably in advance of placing any subcontract or modification thereof for which consent is required under paragraph (c), (d), or (e) of this clause, including the following information:

- (i) A description of the supplies or services to be subcontracted.
- (ii) Identification of the type of subcontract to be used.
- (iii) Identification of the proposed subcontractor.
- (iv) The proposed subcontract price.
- (v) The subcontractor's current, complete, and accurate cost or pricing data and Certificate of Current Cost or Pricing Data, if required by other contract provisions.
- (vi) The subcontractor's Disclosure Statement or Certificate relating to Cost Accounting Standards when such data are required by other provisions of this contract.
- (vii) A negotiation memorandum reflecting -
  - (A) The principal elements of the subcontract price negotiations;
  - (B) The most significant considerations controlling establishment of initial or revised prices;
  - (C) The reason cost or pricing data were or were not required;
  - (D) The extent, if any, to which the Contractor did not rely on the subcontractor's cost or pricing data in determining the price objective and in negotiating the final price;
  - (E) The extent to which it was recognized in the negotiation that the subcontractor's cost or pricing data were not accurate, complete, or current; the action taken by the Contractor and the subcontractor; and the effect of any such defective data on the total price negotiated;
  - (F) The reasons for any significant difference between the Contractor's price objective and the price negotiated; and
  - (G) A complete explanation of the incentive fee or profit plan when incentives are used. The explanation shall identify each critical performance element, management decisions used to quantify each incentive element, reasons for the incentives, and a summary of all trade-off possibilities considered.

(2) The Contractor is not required to notify the Contracting Officer in advance of entering into any subcontract for which consent is not required under paragraph (c), (d), or (e) of this clause.

(g) Unless the consent or approval specifically provides otherwise, neither consent by the Contracting Officer to any subcontract nor approval of the Contractor's purchasing system shall constitute a determination -

- (1) Of the acceptability of any subcontract terms or conditions;
- (2) Of the allowability of any cost under this contract; or
- (3) To relieve the Contractor of any responsibility for performing this contract.

(h) No subcontract or modification thereof placed under this contract shall provide for payment on a cost-plus-a-percentage-of-cost basis, and any fee payable under cost-reimbursement type subcontracts shall not exceed the fee limitations in FAR 15.404-4(c)(4)(i).

(i) The Contractor shall give the Contracting Officer immediate written notice of any action or suit filed and prompt notice of any claim made against the Contractor by any subcontractor or vendor that, in the opinion of the Contractor, may result in litigation related in any way to this contract, with respect to which the Contractor may be entitled to reimbursement from the Government.

(j) The Government reserves the right to review the Contractor's purchasing system as set forth in FAR Subpart 44.3.

(k) Paragraphs (d) and (f) of this clause do not apply to the following subcontracts, which were evaluated during negotiations: **[TBD ]**

**I.87 52.252-6 AUTHORIZED DEVIATIONS IN CLAUSES. (APR 1984)**

(a) The use in this solicitation or contract of any Federal Acquisition Regulation (48 CFR Chapter 1) clause with an authorized deviation is indicated by the addition of "(DEVIATION)" after the date of the clause.

(b) The use in this solicitation or contract of any Department of Energy Acquisition Regulation (48 CFR Chapter 9) clause with an authorized deviation is indicated by the addition of "(DEVIATION)" after the name of the regulation.

**THE FOLLOWING CLAUSES PERTAIN ONLY TO COST-REIMBURSABLE TASK ORDERS ISSUED AGAINST THIS CONTRACT. THESE ARE IN ADDITION TO ALL CLAUSES LISTED ABOVE IDENTIFIED TO PERTAIN TO ALL TYPES OF TASK ORDERS.**

**I.88 52.216-7 ALLOWABLE COST AND PAYMENT. (DEC 2002)**

(a) *Invoicing.* (1) The Government will make payments to the Contractor when requested as work progresses, but (except for small business concerns) not more often than once every 2 weeks, in amounts determined to be allowable by the Contracting Officer in accordance with Federal Acquisition Regulation (FAR) subpart 31.2 in effect on the date of this contract and the terms of this contract. The Contractor may submit to an authorized representative of the Contracting Officer, in such form and reasonable detail as the representative may require, an invoice or voucher supported by a statement of the claimed allowable cost for performing this contract.

(2) Contract financing payments are not subject to the interest penalty provisions of the Prompt Payment Act. Interim payments made prior to the final payment under the contract are contract financing payments, except interim payments if this contract contains Alternate I to the clause at 52.232-25.

(3) The designated payment office will make interim payments for contract financing on the [Contracting Officer insert day as prescribed by agency head; if not prescribed, insert "30<sup>th</sup>"] day after the designated billing office receives a proper payment request.

In the event that the Government requires an audit or other review of a specific payment request to ensure compliance with the terms and conditions of the contract, the designated payment office is not compelled to make payment by the specified due date.

(b) *Reimbursing costs.* (1) For the purpose of reimbursing allowable costs (except as provided in subparagraph (b)(2) of this clause, with respect to pension, deferred profit sharing, and employee stock ownership plan contributions), the term "costs" includes only -

(i) Those recorded costs that, at the time of the request for reimbursement, the Contractor has paid by cash, check, or other form of actual payment for items or services purchased directly for the contract;

(ii) When the Contractor is not delinquent in paying costs of contract performance in the ordinary course of business, costs incurred, but not necessarily paid, for -

(A) Supplies and services purchased directly for the contract and associated financing payments to subcontractors, provided payments determined due will be made -

(1) In accordance with the terms and conditions of a subcontract or invoice; and

(2) Ordinarily within 30 days of the submission of the Contractor's payment request to the Government;

(B) Materials issued from the Contractor's inventory and placed in the production process for use on the contract;

(C) Direct labor;

(D) Direct travel;



(E) Other direct in-house costs; and

(F) Properly allocable and allowable indirect costs, as shown in the records maintained by the Contractor for purposes of obtaining reimbursement under Government contracts; and

(iii) The amount of financing payments that have been paid by cash, check, or other forms of payment to subcontractors.

(2) Accrued costs of Contractor contributions under employee pension plans shall be excluded until actually paid unless -

(i) The Contractor's practice is to make contributions to the retirement fund quarterly or more frequently; and

(ii) The contribution does not remain unpaid 30 days after the end of the applicable quarter or shorter payment period (any contribution remaining unpaid shall be excluded from the Contractor's indirect costs for payment purposes).

(3) Notwithstanding the audit and adjustment of invoices or vouchers under paragraph (g) of this clause, allowable indirect costs under this contract shall be obtained by applying indirect cost rates established in accordance with paragraph (d) of this clause.

(4) Any statements in specifications or other documents incorporated in this contract by reference designating performance of services or furnishing of materials at the Contractor's expense or at no cost to the Government shall be disregarded for purposes of cost-reimbursement under this clause.

(c) *Small business concerns.* A small business concern may receive more frequent payments than every 2 weeks.

(d) *Final indirect cost rates.* (1) Final annual indirect cost rates and the appropriate bases shall be established in accordance with Subpart 42.7 of the Federal Acquisition Regulation (FAR) in effect for the period covered by the indirect cost rate proposal.

(2)(i) The Contractor shall submit an adequate final indirect cost rate proposal to the Contracting Officer (or cognizant Federal agency official) and auditor within the 6-month period following the expiration of each of its fiscal years. Reasonable extensions, for exceptional circumstances only, may be requested in writing by the Contractor and granted in writing by the Contracting Officer. The Contractor shall support its proposal with adequate supporting data.

(ii) The proposed rates shall be based on the Contractor's actual cost experience for that period. The appropriate Government representative and the Contractor shall establish the final indirect cost rates as promptly as practical after receipt of the Contractor's proposal.

(3) The Contractor and the appropriate Government representative shall execute a written understanding setting forth the final indirect cost rates. The understanding shall specify (i) the agreed-upon final annual indirect cost rates, (ii) the bases to which the rates apply, (iii) the periods for which the rates apply, (iv) any specific indirect cost items treated as direct costs in the settlement, and (v) the affected contract and/or subcontract, identifying any with advance agreements or special terms and the applicable rates. The understanding shall not change any monetary ceiling, contract obligation, or specific cost allowance or disallowance provided for in this contract. The understanding is incorporated into this contract upon execution.

(4) Failure by the parties to agree on a final annual indirect cost rate shall be a dispute within the meaning of the Disputes clause.

(5) Within 120 days (or longer period if approved in writing by the Contracting Officer) after settlement of the final annual indirect cost rates for all years of a physically complete contract, the Contractor shall submit a completion invoice or voucher to reflect the settled amounts and rates.

(6)(i) If the Contractor fails to submit a completion invoice or voucher within the time specified in paragraph (d)(5) of this clause, the Contracting Officer may--

(A) Determine the amounts due to the Contractor under the contract; and

(B) Record this determination in a unilateral modification to the contract.

(ii) This determination constitutes the final decision of the Contracting Officer in accordance with the Disputes clause.

(e) *Billing rates.* Until final annual indirect cost rates are established for any period, the Government shall reimburse the Contractor at billing rates established by the Contracting Officer or by an authorized representative (the cognizant auditor), subject to adjustment when the final rates are established. These billing rates -

(1) Shall be the anticipated final rates; and

(2) May be prospectively or retroactively revised by mutual agreement, at either party's request, to prevent substantial overpayment or underpayment.

(f) *Quick-closeout procedures.* Quick-closeout procedures are applicable when the conditions in FAR 42.708(a) are satisfied.

(g) *Audit.* At any time or times before final payment, the Contracting Officer may have the Contractor's invoices or vouchers and statements of cost audited. Any payment may be -

(1) Reduced by amounts found by the Contracting Officer not to constitute allowable costs; or

(2) Adjusted for prior overpayments or underpayments.

(h) *Final payment.* (1) Upon approval of a completion invoice or voucher submitted by the Contractor in accordance with paragraph (d)(5) of this clause, and upon the Contractor's compliance with all terms of this contract, the Government shall promptly pay any balance of allowable costs and that part of the fee (if any) not previously paid.

(2) The Contractor shall pay to the Government any refunds, rebates, credits, or other amounts (including interest, if any) accruing to or received by the Contractor or any assignee under this contract, to the extent that those amounts are properly allocable to costs for which the Contractor has been reimbursed by the Government. Reasonable expenses incurred by the Contractor for securing refunds, rebates, credits, or other amounts shall be allowable costs if approved by the Contracting Officer. Before final payment under this contract, the Contractor and each assignee whose assignment is in effect at the time of final payment shall execute and deliver -

(i) An assignment to the Government, in form and substance satisfactory to the Contracting Officer, of refunds, rebates, credits, or other amounts (including interest, if any) properly allocable to costs for which the Contractor has been reimbursed by the Government under this contract; and

(ii) A release discharging the Government, its officers, agents, and employees from all liabilities, obligations, and claims arising out of or under this contract, except -

(A) Specified claims stated in exact amounts, or in estimated amounts when the exact amounts are not known;

(B) Claims (including reasonable incidental expenses) based upon liabilities of the Contractor to third parties arising out of the performance of this contract; provided, that the claims are not known to the Contractor on the date of the execution of the release, and that the Contractor gives notice of the claims in writing to the Contracting Officer within 6 years following the release date or notice of final payment date, whichever is earlier; and

(C) Claims for reimbursement of costs, including reasonable incidental expenses, incurred by the Contractor under the patent clauses of this contract, excluding, however, any expenses arising from the Contractor's indemnification of the Government against patent liability.

**I.89 52.216-8 FIXED FEE (MAR 1997)**

- (a) The Government shall pay the Contractor for performing this contract the fixed fee specified in the Schedule.
- (b) Payment of the fixed fee shall be made as specified in the Schedule; provided that after payment of 85 percent of the fixed fee, the Contracting Officer may withhold further payment of fee until a reserve is set aside in an amount that the Contracting Officer considers necessary to protect the Government's interest. This reserve shall not exceed 15 percent of the total fixed fee or \$100,000, whichever is less. The Contracting Officer shall release 75 percent of all fee withholds under this contract after receipt of the certified final indirect cost rate proposal covering the year of physical completion of this contract, provided the Contractor has satisfied all other contract terms and conditions, including the submission of the final patent and royalty reports, and is not delinquent in submitting final vouchers on prior years' settlements. The Contracting Officer may release up to 90 percent of the fee withholds under this contract based on the Contractor's past performance related to the submission and settlement of final indirect cost rate proposals.

**I.90 52.232-20 LIMITATION OF COST. (APR 1984)**

- (a) The parties estimate that performance of this contract, exclusive of any fee, will not cost the Government more than (1) the estimated cost specified in the Schedule or, (2) if this is a cost-sharing contract, the Government's share of the estimated cost specified in the Schedule. The Contractor agrees to use its best efforts to perform the work specified in the Schedule and all obligations under this contract within the estimated cost, which, if this is a cost-sharing contract, includes both the Government's and the Contractor's share of the cost.
- (b) The Contractor shall notify the Contracting Officer in writing whenever it has reason to believe that -
  - (1) The costs the Contractor expects to incur under this contract in the next 60 days, when added to all costs previously incurred, will exceed 75 percent of the estimated cost specified in the Schedule; or
  - (2) The total cost for the performance of this contract, exclusive of any fee, will be either greater or substantially less than had been previously estimated.
- (c) As part of the notification, the Contractor shall provide the Contracting Officer a revised estimate of the total cost of performing this contract.
- (d) Except as required by other provisions of this contract, specifically citing and stated to be an exception to this clause -

(1) The Government is not obligated to reimburse the Contractor for costs incurred in excess of (i) the estimated cost specified in the Schedule or, (ii) if this is a cost-sharing contract, the estimated cost to the Government specified in the Schedule; and

(2) The Contractor is not obligated to continue performance under this contract (including actions under the Termination clause of this contract) or otherwise incur costs in excess of the estimated cost specified in the Schedule, until the Contracting Officer (i) notifies the Contractor in writing that the estimated cost has been increased and (ii) provides a revised estimated total cost of performing this contract. If this is a cost-sharing contract, the increase shall be allocated in accordance with the formula specified in the Schedule.

(e) No notice, communication, or representation in any form other than that specified in subparagraph (d)(2) above, or from any person other than the Contracting Officer, shall affect this contract's estimated cost to the Government. In the absence of the specified notice, the Government is not obligated to reimburse the Contractor for any costs in excess of the estimated cost or, if this is a cost-sharing contract, for any costs in excess of the estimated cost to the Government specified in the Schedule, whether those excess costs were incurred during the course of the contract or as a result of termination.

(f) If the estimated cost specified in the Schedule is increased, any costs the Contractor incurs before the increase that are in excess of the previously estimated cost shall be allowable to the same extent as if incurred afterward, unless the Contracting Officer issues a termination or other notice directing that the increase is solely to cover termination or other specified expenses.

(g) Change orders shall not be considered an authorization to exceed the estimated cost to the Government specified in the Schedule, unless they contain a statement increasing the estimated cost.

(h) If this contract is terminated or the estimated cost is not increased, the Government and the Contractor shall negotiate an equitable distribution of all property produced or purchased under the contract, based upon the share of costs incurred by each.

#### **I.91 52.232-22 LIMITATION OF FUNDS. (APR 1984)**

(a) The parties estimate that performance of this contract will not cost the Government more than (1) the estimated cost specified in the Schedule or, (2) if this is a cost-sharing contract, the Government's share of the estimated cost specified in the Schedule. The Contractor agrees to use its best efforts to perform the work specified in the Schedule and all obligations under this contract within the estimated cost, which, if this is a cost-sharing contract, includes both the Government's and the Contractor's share of the cost.

(b) The Schedule specifies the amount presently available for payment by the Government and allotted to this contract, the items covered, the Government's share of the cost if this is a cost-sharing contract, and the period of performance it is estimated the allotted amount will cover. The parties contemplate that the Government will allot additional funds incrementally to the contract up to the full estimated cost to the Government specified in the Schedule, exclusive of any fee. The Contractor agrees to perform, or have performed, work on the contract up to the point at which the total amount paid and payable by the Government under the contract approximates but does not exceed the total amount actually allotted by the Government to the contract.

(c) The Contractor shall notify the Contracting Officer in writing whenever it has reason to believe that the costs it expects to incur under this contract in the next 60 days, when added to all costs previously incurred, will exceed 75 percent of (1) the total amount so far allotted to the contract by the Government or, (2) if this is a cost-sharing contract, the amount then allotted to the contract by the Government plus the Contractor's corresponding share. The notice shall state the estimated amount of additional funds required to continue performance for the period specified in the Schedule.

(d) Sixty days before the end of the period specified in the Schedule, the Contractor shall notify the Contracting Officer in writing of the estimated amount of additional funds, if any, required to continue

timely performance under the contract or for any further period specified in the Schedule or otherwise agreed upon, and when the funds will be required.

(e) If, after notification, additional funds are not allotted by the end of the period specified in the Schedule or another agreed-upon date, upon the Contractor's written request the Contracting Officer will terminate this contract on that date in accordance with the provisions of the Termination clause of this contract. If the Contractor estimates that the funds available will allow it to continue to discharge its obligations beyond that date, it may specify a later date in its request, and the Contracting Officer may terminate this contract on that later date.

(f) Except as required by other provisions of this contract, specifically citing and stated to be an exception to this clause -

(1) The Government is not obligated to reimburse the Contractor for costs incurred in excess of the total amount allotted by the Government to this contract; and

(2) The Contractor is not obligated to continue performance under this contract (including actions under the Termination clause of this contract) or otherwise incur costs in excess of -

(i) The amount then allotted to the contract by the Government or;

(ii) If this is a cost-sharing contract, the amount then allotted by the Government to the contract plus the Contractor's corresponding share, until the Contracting Officer notifies the Contractor in writing that the amount allotted by the Government has been increased and specifies an increased amount, which shall then constitute the total amount allotted by the Government to this contract.

(g) The estimated cost shall be increased to the extent that (1) the amount allotted by the Government or, (2) if this is a cost-sharing contract, the amount then allotted by the Government to the contract plus the Contractor's corresponding share, exceeds the estimated cost specified in the Schedule. If this is a cost-sharing contract, the increase shall be allocated in accordance with the formula specified in the Schedule.

(h) No notice, communication, or representation in any form other than that specified in subparagraph (f)(2) above, or from any person other than the Contracting Officer, shall affect the amount allotted by the Government to this contract. In the absence of the specified notice, the Government is not obligated to reimburse the Contractor for any costs in excess of the total amount allotted by the Government to this contract, whether incurred during the course of the contract or as a result of termination.

(i) When and to the extent that the amount allotted by the Government to the contract is increased, any costs the Contractor incurs before the increase that are in excess of -

(1) The amount previously allotted by the Government or;

(2) If this is a cost-sharing contract, the amount previously allotted by the Government to the contract plus the Contractor's corresponding share, shall be allowable to the same extent as if incurred afterward, unless the Contracting Officer issues a termination or other notice and directs that the increase is solely to cover termination or other specified expenses.

(j) Change orders shall not be considered an authorization to exceed the amount allotted by the Government specified in the Schedule, unless they contain a statement increasing the amount allotted.

(k) Nothing in this clause shall affect the right of the Government to terminate this contract. If this contract is terminated, the Government and the Contractor shall negotiate an equitable distribution of all property produced or purchased under the contract, based upon the share of costs incurred by each.

(l) If the Government does not allot sufficient funds to allow completion of the work, the Contractor is

entitled to a percentage of the fee specified in the Schedule equaling the percentage of completion of the work contemplated by this contract.

**I.92 52.233-3 PROTEST AFTER AWARD. (AUG 1996) - ALTERNATE I (JUN 1985)**

(a) Upon receipt of a notice of protest (as defined in FAR 33.101) or a determination that a protest is likely (see FAR 33.102(d)), the Contracting Officer may, by written order to the Contractor, direct the Contractor to stop performance of the work called for by this contract. The order shall be specifically identified as a stop-work order issued under this clause. Upon receipt of the order, the Contractor shall immediately comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the work covered by the order during the period of work stoppage. Upon receipt of the final decision in the protest, the Contracting Officer shall either -

(1) Cancel the stop-work order; or

(2) Terminate the work covered by the order as provided in the Termination clause of this contract.

(b) If a stop-work order issued under this clause is canceled either before or after a final decision in the protest, the Contractor shall resume work. The Contracting Officer shall make an equitable adjustment in the delivery schedule, the estimated cost, the fee, or a combination thereof, and in any other terms of the contract that may be affected and the contract shall be modified, in writing, accordingly, if -

(1) The stop-work order results in an increase in the time required for, or in the Contractor's cost properly allocable to, the performance of any part of this contract; and

(2) The Contractor asserts its right to an adjustment within 30 days after the end of the period of work stoppage; *provided*, that if the Contracting Officer decides the facts justify the action, the Contracting Officer may receive and act upon a proposal at any time before final payment under this contract.

(c) If a stop-work order is not canceled and the work covered by the order is terminated for the convenience of the Government, the Contracting Officer shall allow reasonable costs resulting from the stop-work order in arriving at the termination settlement.

(d) If a stop-work order is not canceled and the work covered by the order is terminated for default, the Contracting Officer shall allow, by equitable adjustment or otherwise, reasonable costs resulting from the stop-work order.

(e) The Government's rights to terminate this contract at any time are not affected by action taken under this clause.

(f) If, as the result of the Contractor's intentional or negligent misstatement, misrepresentation, or miscertification, a protest related to this contract is sustained, and the Government pays costs, as provided in FAR 33.102(b)(2) or 33.104(h)(1), the Government may require the Contractor to reimburse the Government the amount of such costs. In addition to any other remedy available, and pursuant to the requirements of Subpart 32.6, the Government may collect this debt by offsetting the amount against any payment due the Contractor under any contract between the Contractor and the Government.

**I.93 52.242-4 CERTIFICATION OF FINAL INDIRECT COSTS. (JAN 1997)**

(a) The Contractor shall -

(1) Certify any proposal to establish or modify final indirect cost rates;

(2) Use the format in paragraph (c) of this clause to certify; and

(3) Have the certificate signed by an individual of the Contractor's organization at a level no lower than a vice president or chief financial officer of the business segment of the Contractor that submits the proposal.

(b) Failure by the Contractor to submit a signed certificate, as described in this clause, may result in final indirect costs at rates unilaterally established by the Contracting Officer.

(c) The certificate of final indirect costs shall read as follows:

**Certificate of Final Indirect Costs**

This is to certify that I have reviewed this proposal to establish final indirect cost rates and to the best of my knowledge and belief:

1. All costs included in this proposal (identify proposal and date) to establish final indirect cost rates for (identify period covered by rate) are allowable in accordance with the cost principles of the Federal Acquisition Regulation (FAR) and its supplements applicable to the contracts to which the final indirect cost rates will apply; and

2. This proposal does not include any costs which are expressly unallowable under applicable cost principles of the FAR or its supplements.

Firm: \_\_\_\_\_

Signature: \_\_\_\_\_

Name of Certifying Official: \_\_\_\_\_

Title: \_\_\_\_\_

Date of Execution: \_\_\_\_\_

**I.94 52.243-2 CHANGES - COST-REIMBURSEMENT. (AUG 1987) - ALTERNATE I (APR 1984)**

(a) The Contracting Officer may at any time, by written order, and without notice to the sureties, if any, make changes within the general scope of this contract in any one or more of the following:

(1) Description of services to be performed.

(2) Time of performance (*i.e.*, hours of the day, days of the week, etc.).

(3) Place of performance of the services.

(b) If any such change causes an increase or decrease in the estimated cost of, or the time required for, performance of any part of the work under this contract, whether or not changed by the order, or otherwise affects any other terms and conditions of this contract, the Contracting Officer shall make an equitable adjustment in the -

(1) Estimated cost, delivery or completion schedule, or both;

(2) Amount of any fixed fee; and

(3) Other affected terms and shall modify the contract accordingly.

(c) The Contractor must assert its right to an adjustment under this clause within 30 days from the date of receipt of the written order. However, if the Contracting Officer decides that the facts justify it, the

Contracting Officer may receive and act upon a proposal submitted before final payment of the contract.

(d) Failure to agree to any adjustment shall be a dispute under the Disputes clause. However, nothing in this clause shall excuse the Contractor from proceeding with the contract as changed.

(e) Notwithstanding the terms and conditions of paragraphs (a) and (b) above, the estimated cost of this contract and, if this contract is incrementally funded, the funds allotted for the performance of this contract, shall not be increased or considered to be increased except by specific written modification of the contract indicating the new contract estimated cost and, if this contract is incrementally funded, the new amount allotted to the contract. Until this modification is made, the Contractor shall not be obligated to continue performance or incur costs beyond the point established in the Limitation of Cost or Limitation of Funds clause of this contract.

**I.95 52.245-5 GOVERNMENT PROPERTY (COST-REIMBURSEMENT, TIME-AND-MATERIAL, OR LABOR-HOUR CONTRACTS). (JUN 2003)**

(a) *Government-furnished property.*

(1) The term "Contractor's managerial personnel," as used in paragraph (g) of this clause, means any of the Contractor's directors, officers, managers, superintendents, or equivalent representatives who have supervision or direction of -

(i) All or substantially all of the Contractor's business;

(ii) All or substantially all of the Contractor's operation at any one plant, or separate location at which the contract is being performed; or

(iii) A separate and complete major industrial operation connected with performing this contract.

(2) The Government shall deliver to the Contractor, for use in connection with and under the terms of this contract, the Government-furnished property described in the Schedule or specifications, together with such related data and information as the Contractor may request and as may be reasonably required for the intended use of the property (hereinafter referred to as "Government-furnished property").

(3) The delivery or performance dates for this contract are based upon the expectation that Government-furnished property suitable for use will be delivered to the Contractor at the times stated in the Schedule or, if not so stated, in sufficient time to enable the Contractor to meet the contract's delivery or performance dates.

(4) If Government-furnished property is received by the Contractor in a condition not suitable for the intended use, the Contractor shall, upon receipt, notify the Contracting Officer, detailing the facts, and, as directed by the Contracting Officer and at Government expense, either effect repairs or modification or return or otherwise dispose of the property. After completing the directed action and upon written request of the Contractor, the Contracting Officer shall make an equitable adjustment as provided in paragraph (h) of this clause.

(5) If Government-furnished property is not delivered to the Contractor by the required time or times, the Contracting Officer shall, upon the Contractor's timely written request, make a determination of the delay, if any, caused the Contractor and shall make an equitable adjustment in accordance with paragraph (h) of this clause.

(b) *Changes in Government-furnished property.* (1) The Contracting Officer may, by written notice, (i) decrease the Government-furnished property provided or to be provided under this contract or (ii) substitute other Government-furnished property for the property to be provided by the Government or to be acquired



by the Contractor for the Government under this contract. The Contractor shall promptly take such action as the Contracting Officer may direct regarding the removal, shipment, or disposal of the property covered by this notice.

(2) Upon the Contractor's written request, the Contracting Officer shall make an equitable adjustment to the contract in accordance with paragraph (h) of this clause, if the Government has agreed in the Schedule to make such property available for performing this contract and there is any -

(i) Decrease or substitution in this property pursuant to subparagraph (b)(1) above; or

(ii) Withdrawal of authority to use property, if provided under any other contract or lease.

(c) *Title.* (1) The Government shall retain title to all Government-furnished property.

(2) Title to all property purchased by the Contractor for which the Contractor is entitled to be reimbursed as a direct item of cost under this contract shall pass to and vest in the Government upon the vendor's delivery of such property.

(3) Title to all other property, the cost of which is reimbursable to the Contractor, shall pass to and vest in the Government upon -

(i) Issuance of the property for use in contract performance;

(ii) Commencement of processing of the property for use in contract performance; or

(iii) Reimbursement of the cost of the property by the Government, whichever occurs first.

(4) All Government-furnished property and all property acquired by the Contractor, title to which vests in the Government under this paragraph (collectively referred to as "Government property"), are subject to the provisions of this clause. Title to Government property shall not be affected by its incorporation into or attachment to any property not owned by the Government, nor shall Government property become a fixture or lose its identity as personal property by being attached to any real property.

(d) *Use of Government property.* The Government property shall be used only for performing this contract, unless otherwise provided in this contract or approved by the Contracting Officer.

(e) *Property administration.* (1) The Contractor shall be responsible and accountable for all Government property provided under the contract and shall comply with Federal Acquisition Regulation (FAR) Subpart 45.5, as in effect on the date of this contract.

(2) The Contractor shall establish and maintain a program for the use, maintenance, repair, protection, and preservation of Government property in accordance with sound business practice and the applicable provisions of FAR Subpart 45.5.

(3) If damage occurs to Government property, the risk of which has been assumed by the Government under this contract, the Government shall replace the items or the Contractor shall make such repairs as the Government directs. However, if the Contractor cannot effect such repairs within the time required, the Contractor shall dispose of the property as directed by the Contracting Officer. When any property for which the Government is responsible is replaced or repaired, the Contracting Officer shall make an equitable adjustment in accordance with paragraph (h) of this clause.

(f) *Access.* The Government and all its designees shall have access at all reasonable times to the premises in

which any Government property is located for the purpose of inspecting the Government property.

(g) *Limited risk of loss.* (1) The Contractor shall not be liable for loss or destruction of, or damage to, the Government property provided under this contract or for expenses incidental to such loss, destruction, or damage, except as provided in subparagraphs (2) and (3) below.

(2) The Contractor shall be responsible for loss or destruction of, or damage to, the Government property provided under this contract (including expenses incidental to such loss, destruction, or damage) -

(i) That results from a risk expressly required to be insured under this contract, but only to the extent of the insurance required to be purchased and maintained or to the extent of insurance actually purchased and maintained, whichever is greater;

(ii) That results from a risk that is in fact covered by insurance or for which the Contractor is otherwise reimbursed, but only to the extent of such insurance or reimbursement;

(iii) For which the Contractor is otherwise responsible under the express terms of this contract;

(iv) That results from willful misconduct or lack of good faith on the part of the Contractor's managerial personnel; or

(v) That results from a failure on the part of the Contractor, due to willful misconduct or lack of good faith on the part of the Contractor's managerial personnel, to establish and administer a program or system for the control, use, protection, preservation, maintenance, and repair of Government property as required by paragraph (e) of this clause.

(3)(i) If the Contractor fails to act as provided by subdivision (g)(2)(v) above, after being notified (by certified mail addressed to one of the Contractor's managerial personnel) of the Government's disapproval, withdrawal of approval, or nonacceptance of the system or program, it shall be conclusively presumed that such failure was due to willful misconduct or lack of good faith on the part of the Contractor's managerial personnel.

(ii) In such event, any loss or destruction of, or damage to, the Government property shall be presumed to have resulted from such failure unless the Contractor can establish by clear and convincing evidence that such loss, destruction, or damage -

(A) Did not result from the Contractor's failure to maintain an approved program or system; or

(B) Occurred while an approved program or system was maintained by the Contractor.

(4) If the Contractor transfers Government property to the possession and control of a subcontractor, the transfer shall not affect the liability of the Contractor for loss or destruction of, or damage to, the property as set forth above. However, the Contractor shall require the subcontractor to assume the risk of, and be responsible for, any loss or destruction of, or damage to, the property while in the subcontractor's possession or control, except to the extent that the subcontract, with the advance approval of the Contracting Officer, relieves the subcontractor from such liability. In the absence of such approval, the subcontract shall contain appropriate provisions requiring the return of all Government property in as good condition as when received, except for reasonable wear and tear or for its use in accordance with the provisions of the prime contract.

(5) Upon loss or destruction of, or damage to, Government property provided under this contract, the Contractor shall so notify the Contracting Officer and shall communicate with the loss and salvage organization, if any, designated by the Contracting Officer. With the assistance of any such organization, the Contractor shall take all reasonable action to protect the Government property from further damage, separate the damaged and undamaged Government property, put all the affected Government property in the best possible order, and furnish to the Contracting Officer a statement of -

- (i) The lost, destroyed, or damaged Government property;
- (ii) The time and origin of the loss, destruction, or damage;
- (iii) All known interests in commingled property of which the Government property is a part; and
- (iv) The insurance, if any, covering any part of or interest in such commingled property.

(6) The Contractor shall repair, renovate, and take such other action with respect to damaged Government property as the Contracting Officer directs. If the Government property is destroyed or damaged beyond practical repair, or is damaged and so commingled or combined with property of others (including the Contractor's) that separation is impractical, the Contractor may, with the approval of and subject to any conditions imposed by the Contracting Officer, sell such property for the account of the Government. Such sales may be made in order to minimize the loss to the Government, to permit the resumption of business, or to accomplish a similar purpose. The Contractor shall be entitled to an equitable adjustment in the contract price for the expenditures made in performing the obligations under this subparagraph (g)(6) in accordance with paragraph (h) of this clause. However, the Government may directly reimburse the loss and salvage organization for any of their charges. The Contracting Officer shall give due regard to the Contractor's liability under this paragraph (g) when making any such equitable adjustment.

(7) The Contractor shall not be reimbursed for, and shall not include as an item of overhead, the cost of insurance or of any reserve covering risk of loss or destruction of, or damage to, Government property, except to the extent that the Government may have expressly required the Contractor to carry such insurance under another provision of this contract.

(8) In the event the Contractor is reimbursed or otherwise compensated for any loss or destruction of, or damage to, Government property, the Contractor shall use the proceeds to repair, renovate, or replace the lost, destroyed, or damaged Government property or shall otherwise credit the proceeds to, or equitably reimburse, the Government, as directed by the Contracting Officer.

(9) The Contractor shall do nothing to prejudice the Government's rights to recover against third parties for any loss or destruction of, or damage to, Government property. Upon the request of the Contracting Officer, the Contractor shall, at the Government's expense, furnish to the Government all reasonable assistance and cooperation (including the prosecution of suit and the execution of instruments of assignment in favor of the Government) in obtaining recovery. In addition, where a subcontractor has not been relieved from liability for any loss or destruction of, or damage to, Government property, the Contractor shall enforce for the benefit of the Government the liability of the subcontractor for such loss, destruction, or damage.

(h) *Equitable adjustment.* When this clause specifies an equitable adjustment, it shall be made to any affected contract provision in accordance with the procedures of the Changes clause. When appropriate, the Contracting Officer may initiate an equitable adjustment in favor of the Government. The right to an equitable adjustment shall be the Contractor's exclusive remedy. The Government shall not be liable to suit for breach of contract for -

- (1) Any delay in delivery of Government-furnished property;

- (2) Delivery of Government-furnished property in a condition not suitable for its intended use;
- (3) A decrease in or substitution of Government-furnished property; or
- (4) Failure to repair or replace Government property for which the Government is responsible.

(i) *Final accounting and disposition of Government property.* Upon completing this contract, or at such earlier dates as may be fixed by the Contracting Officer, the Contractor shall submit, in a form acceptable to the Contracting Officer, inventory schedules covering all items of Government property not consumed in performing this contract or delivered to the Government. The Contractor shall prepare for shipment, deliver f.o.b. origin, or dispose of the Government property as may be directed or authorized by the Contracting Officer. The net proceeds of any such disposal shall be credited to the cost of the work covered by this contract or paid to the Government as directed by the Contracting Officer. The foregoing provisions shall apply to scrap from Government property; provided, however, that the Contracting Officer may authorize or direct the Contractor to omit from such inventory schedules any scrap consisting of faulty castings or forgings or of cutting and processing waste, such as chips, cuttings, borings, turnings, short ends, circles, trimmings, clippings, and remnants, and to dispose of such scrap in accordance with the Contractor's normal practice and account for it as a part of general overhead or other reimbursable costs in accordance with the Contractor's established accounting procedures.

(j) *Abandonment and restoration of Contractor premises.* Unless otherwise provided herein, the Government -

- (1) May abandon any Government property in place, at which time all obligations of the Government regarding such abandoned property shall cease; and
- (2) Has no obligation to restore or rehabilitate the Contractor's premises under any circumstances (*e.g.*, abandonment, disposition upon completion of need, or contract completion). However, if the Government-furnished property (listed in the Schedule or specifications) is withdrawn or is unsuitable for the intended use, or if other Government property is substituted, then the equitable adjustment under paragraph (h) of this clause may properly include restoration or rehabilitation costs.

(k) *Communications.* All communications under this clause shall be in writing.

(l) *Overseas contracts.* If this contract is to be performed outside the United States and its outlying areas the words "Government" and "Government-furnished" (wherever they appear in this clause) shall be construed as "United States Government" and "United States Government-furnished," respectively.

**I.96 952.245-5 GOVERNMENT PROPERTY (COST REIMBURSEMENT, TIME-AND-MATERIALS, OR LABOR-HOUR CONTRACTS.)**

Modify FAR 52.245-5 by adding "and DOE Acquisition Regulation Subpart 945.5" after the reference to FAR Subpart 45.5 in paragraphs (e)(1) and (e)(2) of the clause.

**I.97 52.249-6 TERMINATION (COST-REIMBURSEMENT). (SEP 1996) - ALTERNATE II (SEP 1996)**

(a) The Government may terminate performance of work under this contract in whole or, from time to time, in part, if -

- (1) The Contracting Officer determines that a termination is in the Government's interest; or

(2) The Contractor defaults in performing this contract and fails to cure the default within 10 days (unless extended by the Contracting Officer) after receiving a notice specifying the default. "Default" includes failure to make progress in the work so as to endanger performance.

(b) The Contracting Officer shall terminate by delivering to the Contractor a Notice of Termination specifying whether termination is for default of the Contractor or for convenience of the Government, the extent of termination, and the effective date. If, after termination for default, it is determined that the Contractor was not in default or that the Contractor's failure to perform or to make progress in performance is due to causes beyond the control and without the fault or negligence of the Contractor as set forth in the Excusable Delays clause, the rights and obligations of the parties will be the same as if the termination was for the convenience of the Government.

(c) After receipt of a Notice of Termination, and except as directed by the Contracting Officer, the Contractor shall immediately proceed with the following obligations, regardless of any delay in determining or adjusting any amounts due under this clause:

(1) Stop work as specified in the notice.

(2) Place no further subcontracts or orders (referred to as subcontracts in this clause), except as necessary to complete the continued portion of the contract.

(3) Terminate all subcontracts to the extent they relate to the work terminated.

(4) Assign to the Government, as directed by the Contracting Officer, all right, title, and interest of the Contractor under the subcontracts terminated, in which case the Government shall have the right to settle or to pay any termination settlement proposal arising out of those terminations.

(5) With approval or ratification to the extent required by the Contracting Officer, settle all outstanding liabilities and termination settlement proposals arising from the termination of subcontracts, the cost of which would be reimbursable in whole or in part, under this contract; approval or ratification will be final for purposes of this clause.

(6) Transfer title (if not already transferred) and, as directed by the Contracting Officer, deliver to the Government -

(i) The fabricated or unfabricated parts, work in process, completed work, supplies, and other material produced or acquired for the work terminated;

(ii) The completed or partially completed plans, drawings, information, and other property that, if the contract had been completed, would be required to be furnished to the Government; and

(iii) The jigs, dies, fixtures, and other special tools and tooling acquired or manufactured for this contract, the cost of which the Contractor has been or will be reimbursed under this contract.

(7) Complete performance of the work not terminated.

(8) Take any action that may be necessary, or that the Contracting Officer may direct, for the protection and preservation of the property related to this contract that is in the possession of the Contractor and in which the Government has or may acquire an interest.

(9) Use its best efforts to sell, as directed or authorized by the Contracting Officer, any property of the types referred to in subparagraph (c)(6) of this clause; *provided, however*, that the Contractor (i) is not required to extend credit to any purchaser and (ii) may acquire the property under the conditions prescribed by, and at prices approved by, the Contracting Officer. The proceeds of any

transfer or disposition will be applied to reduce any payments to be made by the Government under this contract, credited to the price or cost of the work, or paid in any other manner directed by the Contracting Officer.

(d) The Contractor shall submit complete termination inventory schedules no later than 120 days from the effective date of termination, unless extended in writing by the Contracting Officer upon written request of the Contractor within this 120-day period.

(e) After expiration of the plant clearance period as defined in Subpart 45.6 of the Federal Acquisition Regulation, the Contractor may submit to the Contracting Officer a list, certified as to quantity and quality, of termination inventory not previously disposed of, excluding items authorized for disposition by the Contracting Officer. The Contractor may request the Government to remove those items or enter into an agreement for their storage. Within 15 days, the Government will accept the items and remove them or enter into a storage agreement. The Contracting Officer may verify the list upon removal of the items, or if stored, within 45 days from submission of the list, and shall correct the list, as necessary, before final settlement.

(f) After termination, the Contractor shall submit a final termination settlement proposal to the Contracting Officer in the form and with the certification prescribed by the Contracting Officer. The Contractor shall submit the proposal promptly, but no later than 1 year from the effective date of termination, unless extended in writing by the Contracting Officer upon written request of the Contractor within this 1-year period. However, if the Contracting Officer determines that the facts justify it, a termination settlement proposal may be received and acted on after 1 year or any extension. If the Contractor fails to submit the proposal within the time allowed, the Contracting Officer may determine, on the basis of information available, the amount, if any, due the Contractor because of the termination and shall pay the amount determined.

(g) Subject to paragraph (f) of this clause, the Contractor and the Contracting Officer may agree on the whole or any part of the amount to be paid (including an allowance for fee) because of the termination. The contract shall be amended, and the Contractor paid the agreed amount.

(h) If the Contractor and the Contracting Officer fail to agree in whole or in part on the amount of costs and/or fee to be paid because of the termination of work, the Contracting Officer shall determine, on the basis of information available, the amount, if any, due the Contractor, and shall pay that amount, which shall include the following:

(1) All costs reimbursable under this contract, not previously paid, for the performance of this contract before the effective date of the termination, and those costs that may continue for a reasonable time with the approval of or as directed by the Contracting Officer; however, the Contractor shall discontinue those costs as rapidly as practicable.

(2) The cost of settling and paying termination settlement proposals under terminated subcontracts that are properly chargeable to the terminated portion of the contract if not included in subparagraph (h)(1) of this clause.

(3) The reasonable costs of settlement of the work terminated, including -

(i) Accounting, legal, clerical, and other expenses reasonably necessary for the preparation of termination settlement proposals and supporting data;

(ii) The termination and settlement of subcontracts (excluding the amounts of such settlements); and

(iii) Storage, transportation, and other costs incurred, reasonably necessary for the preservation, protection, or disposition of the termination inventory. If the termination is for default, no amounts for the preparation of the Contractor's termination settlement

proposal may be included.

(4) A portion of the fee payable under the contract, determined as follows:

(i) If the contract is terminated for the convenience of the Government, the settlement shall include a percentage of the fee equal to the percentage of completion of work contemplated under the contract, but excluding subcontract effort included in subcontractors' termination proposals, less previous payments for fee.

(ii) If the contract is terminated for default, the total fee payable shall be such proportionate part of the fee as the total number of articles (or amount of services) delivered to and accepted by the Government is to the total number of articles (or amount of services) of a like kind required by the contract.

(5) If the settlement includes only fee, it will be determined under subparagraph (h)(4) of this clause.

(i) The cost principles and procedures in Part 31 of the Federal Acquisition Regulation, in effect on the date of this contract, shall govern all costs claimed, agreed to, or determined under this clause.

(j) The Contractor shall have the right of appeal, under the Disputes clause, from any determination made by the Contracting Officer under paragraph (f), (h), or (l) of this clause, except that if the Contractor failed to submit the termination settlement proposal within the time provided in paragraph (f) and failed to request a time extension, there is no right of appeal. If the Contracting Officer has made a determination of the amount due under paragraph (f), (h) or (l) of this clause, the Government shall pay the Contractor -

(1) The amount determined by the Contracting Officer if there is no right of appeal or if no timely appeal has been taken; or

(2) The amount finally determined on an appeal.

(k) In arriving at the amount due the Contractor under this clause, there shall be deducted -

(1) All unliquidated advance or other payments to the Contractor, under the terminated portion of this contract;

(2) Any claim which the Government has against the Contractor under this contract; and

(3) The agreed price for, or the proceeds of sale of materials, supplies, or other things acquired by the Contractor or sold under this clause and not recovered by or credited to the Government.

(l) The Contractor and Contracting Officer must agree to any equitable adjustment in fee for the continued portion of the contract when there is a partial termination. The Contracting Officer shall amend the contract to reflect the agreement.

(m)(1) The Government may, under the terms and conditions it prescribes, make partial payments and payments against costs incurred by the Contractor for the terminated portion of the contract, if the Contracting Officer believes the total of these payments will not exceed the amount to which the Contractor will be entitled.

(n) The provisions of this clause relating to fee are inapplicable if this contract does not include a fee.

**THE FOLLOWING CLAUSES PERTAIN ONLY TO FIXED-PRICED TASK ORDERS ISSUED AGAINST THIS CONTRACT. THESE ARE IN ADDITION TO ALL CLAUSES LISTED ABOVE IDENTIFIED TO PERTAIN TO ALL TYPES OF TASK ORDERS.**

**I.98 52.232-1 PAYMENTS. (APR 1984)**

The Government shall pay the Contractor, upon the submission of proper invoices or vouchers, the prices stipulated in this contract for supplies delivered and accepted or services rendered and accepted, less any deductions provided in this contract. Unless otherwise specified in this contract, payment shall be made on partial deliveries accepted by the Government if -

- (a) The amount due on the deliveries warrants it; or
- (b) The Contractor requests it and the amount due on the deliveries is at least \$1,000 or 50 percent of the total contract price.

**I.99 52.232-8 DISCOUNTS FOR PROMPT PAYMENT. (FEB 2002)**

(a) Discounts for prompt payment will not be considered in the evaluation of offers. However, any offered discount will form a part of the award, and will be taken if payment is made within the discount period indicated in the offer by the offeror. As an alternative to offering a discount for prompt payment in conjunction with the offer, offerors awarded contracts may include discounts for prompt payment on individual invoices.

(b) In connection with any discount offered for prompt payment, time shall be computed from the date of the invoice. If the Contractor has not placed a date on the invoice, the due date shall be calculated from the date the designated billing office receives a proper invoice, provided the agency annotates such invoice with the date of receipt at the time of receipt. For the purpose of computing the discount earned, payment shall be considered to have been made on the date that appears on the payment check or, for an electronic funds transfer, the specified payment date. When the discount date falls on a Saturday, Sunday, or legal holiday when Federal Government offices are closed and Government business is not expected to be conducted, payment may be made on the following business day.

**I.100 52.232-11 EXTRAS. (APR 1984)**

Except as otherwise provided in this contract, no payment for extras shall be made unless such extras and the price therefore have been authorized in writing by the Contracting Officer.

**I.101 52.233-3 PROTEST AFTER AWARD. (AUG 1996)**

(a) Upon receipt of a notice of protest (as defined in FAR 33.101) or a determination that a protest is likely (see FAR 33.102(d)), the Contracting Officer may, by written order to the Contractor, direct the Contractor to stop performance of the work called for by this contract. The order shall be specifically identified as a stop-work order issued under this clause. Upon receipt of the order, the Contractor shall immediately comply with its terms and take all reasonable steps to minimize the incurrence of costs allocable to the work covered by the order during the period of work stoppage. Upon receipt of the final decision in the protest, the Contracting Officer shall either -

- (1) Cancel the stop-work order; or
- (2) Terminate the work covered by the order as provided in the Default, or the Termination for Convenience of the Government, clause of this contract.

(b) If a stop-work order issued under this clause is canceled either before or after a final decision in the protest, the Contractor shall resume work. The Contracting Officer shall make an equitable adjustment in



the delivery schedule or contract price, or both, and the contract shall be modified, in writing, accordingly, if -

- (1) The stop-work order results in an increase in the time required for, or in the Contractor's cost properly allocable to, the performance of any part of this contract; and
- (2) The Contractor asserts its right to an adjustment within 30 days after the end of the period of work stoppage; *provided*, that if the Contracting Officer decides the facts justify the action, the Contracting Officer may receive and act upon a proposal at any time before final payment under this contract.
- (c) If a stop-work order is not canceled and the work covered by the order is terminated for the convenience of the Government, the Contracting Officer shall allow reasonable costs resulting from the stop-work order in arriving at the termination settlement.
- (d) If a stop-work order is not canceled and the work covered by the order is terminated for default, the Contracting Officer shall allow, by equitable adjustment or otherwise, reasonable costs resulting from the stop-work order.
- (e) The Government's rights to terminate this contract at any time are not affected by action taken under this clause.
- (f) If, as the result of the Contractor's intentional or negligent misstatement, misrepresentation, or miscertification, a protest related to this contract is sustained, and the Government pays costs, as provided in FAR 33.102(b)(2) or 33.104(h)(1), the Government may require the Contractor to reimburse the Government the amount of such costs. In addition to any other remedy available, and pursuant to the requirements of Subpart 32.6, the Government may collect this debt by offsetting the amount against any payment due the Contractor under any contract between the Contractor and the Government.

**I.102 52.243-1 CHANGES - FIXED-PRICE. (AUG 1987) - ALTERNATE I (APR 1984)**

- (a) The Contracting Officer may at any time, by written order, and without notice to the sureties, if any, make changes within the general scope of this contract in any one or more of the following:
  - (1) Description of services to be performed.
  - (2) Time of performance (*i.e.*, hours of the day, days of the week, etc.).
  - (3) Place of performance of the services.
- (b) If any such change causes an increase or decrease in the cost of, or the time required for, performance of any part of the work under this contract, whether or not changed by the order, the Contracting Officer shall make an equitable adjustment in the contract price, the delivery schedule, or both, and shall modify the contract.
- (c) The Contractor must assert its right to an adjustment under this clause within 30 days from the date of receipt of the written order. However, if the Contracting Officer decides that the facts justify it, the Contracting Officer may receive and act upon a proposal submitted before final payment of the contract.
- (d) If the Contractor's proposal includes the cost of property made obsolete or excess by the change, the Contracting Officer shall have the right to prescribe the manner of the disposition of the property.
- (e) Failure to agree to any adjustment shall be a dispute under the Disputes clause. However, nothing in this clause shall excuse the Contractor from proceeding with the contract as changed.

**I.103 52.245-2 GOVERNMENT PROPERTY (FIXED-PRICE CONTRACTS). (JUN 2003)**

(a) *Government-furnished property.* (1) The Government shall deliver to the Contractor, for use in connection with and under the terms of this contract, the Government-furnished property described in the Schedule or specifications together with any related data and information that the Contractor may request and is reasonably required for the intended use of the property (hereinafter referred to as "Government-furnished property").

(2) The delivery or performance dates for this contract are based upon the expectation that Government-furnished property suitable for use (except for property furnished "as is") will be delivered to the Contractor at the times stated in the Schedule or, if not so stated, in sufficient time to enable the Contractor to meet the contract's delivery or performance dates.

(3) If Government-furnished property is received by the Contractor in a condition not suitable for the intended use, the Contractor shall, upon receipt of it, notify the Contracting Officer, detailing the facts, and, as directed by the Contracting Officer and at Government expense, either repair, modify, return, or otherwise dispose of the property. After completing the directed action and upon written request of the Contractor, the Contracting Officer shall make an equitable adjustment as provided in paragraph (h) of this clause.

(4) If Government-furnished property is not delivered to the Contractor by the required time, the Contracting Officer shall, upon the Contractor's timely written request, make a determination of the delay, if any, caused the Contractor and shall make an equitable adjustment in accordance with paragraph (h) of this clause.

(b) *Changes in Government-furnished property.* (1) The Contracting Officer may, by written notice, (i) decrease the Government-furnished property provided or to be provided under this contract, or (ii) substitute other Government-furnished property for the property to be provided by the Government, or to be acquired by the Contractor for the Government, under this contract. The Contractor shall promptly take such action as the Contracting Officer may direct regarding the removal, shipment, or disposal of the property covered by such notice.

(2) Upon the Contractor's written request, the Contracting Officer shall make an equitable adjustment to the contract in accordance with paragraph (h) of this clause, if the Government has agreed in the Schedule to make the property available for performing this contract and there is any -

(i) Decrease or substitution in this property pursuant to subparagraph (b)(1) of this clause; or

(ii) Withdrawal of authority to use this property, if provided under any other contract or lease.

(c) *Title in Government property.* (1) The Government shall retain title to all Government-furnished property.

(2) All Government-furnished property and all property acquired by the Contractor, title to which vests in the Government under this paragraph (collectively referred to as "Government property"), are subject to the provisions of this clause. However, special tooling accountable to this contract is subject to the provisions of the Special Tooling clause and is not subject to the provisions of this clause. Title to Government property shall not be affected by its incorporation into or attachment to any property not owned by the Government, nor shall Government property become a fixture or lose its identity as personal property by being attached to any real property.

(3) Title to each item of facilities and special test equipment acquired by the Contractor for the Government under this contract shall pass to and vest in the Government when its use in

performing this contract commences or when the Government has paid for it, whichever is earlier, whether or not title previously vested in the Government.

(4) If this contract contains a provision directing the Contractor to purchase material for which the Government will reimburse the Contractor as a direct item of cost under this contract -

(i) Title to material purchased from a vendor shall pass to and vest in the Government upon the vendor's delivery of such material; and

(ii) Title to all other material shall pass to and vest in the Government upon -

(A) Issuance of the material for use in contract performance;

(B) Commencement of processing of the material or its use in contract performance; or

(C) Reimbursement of the cost of the material by the Government, whichever occurs first.

(d) *Use of Government property.* The Government property shall be used only for performing this contract, unless otherwise provided in this contract or approved by the Contracting Officer.

(e) *Property administration.* (1) The Contractor shall be responsible and accountable for all Government property provided under this contract and shall comply with Federal Acquisition Regulation (FAR) Subpart 45.5, as in effect on the date of this contract.

(2) The Contractor shall establish and maintain a program for the use, maintenance, repair, protection, and preservation of Government property in accordance with sound industrial practice and the applicable provisions of Subpart 45.5 of the FAR.

(3) If damage occurs to Government property, the risk of which has been assumed by the Government under this contract, the Government shall replace the items or the Contractor shall make such repairs as the Government directs. However, if the Contractor cannot effect such repairs within the time required, the Contractor shall dispose of the property as directed by the Contracting Officer. When any property for which the Government is responsible is replaced or repaired, the Contracting Officer shall make an equitable adjustment in accordance with paragraph (h) of this clause.

(4) The Contractor represents that the contract price does not include any amount for repairs or replacement for which the Government is responsible. Repair or replacement of property for which the Contractor is responsible shall be accomplished by the Contractor at its own expense.

(f) *Access.* The Government and all its designees shall have access at all reasonable times to the premises in which any Government property is located for the purpose of inspecting the Government property.

(g) *Risk of loss.* Unless otherwise provided in this contract, the Contractor assumes the risk of, and shall be responsible for, any loss or destruction of, or damage to, Government property upon its delivery to the Contractor or upon passage of title to the Government under paragraph (c) of this clause. However, the Contractor is not responsible for reasonable wear and tear to Government property or for Government property properly consumed in performing this contract.

(h) *Equitable adjustment.* When this clause specifies an equitable adjustment, it shall be made to any affected contract provision in accordance with the procedures of the Changes clause. When appropriate, the Contracting Officer may initiate an equitable adjustment in favor of the Government. The right to an equitable adjustment shall be the Contractor's exclusive remedy. The Government shall not be liable to suit for breach of contract for -

- (1) Any delay in delivery of Government-furnished property;
- (2) Delivery of Government-furnished property in a condition not suitable for its intended use;
- (3) A decrease in or substitution of Government-furnished property; or
- (4) Failure to repair or replace Government property for which the Government is responsible.

(i) Final accounting and disposition of Government property. Upon completing this contract, or at such earlier dates as may be fixed by the Contracting Officer, the Contractor shall submit, in a form acceptable to the Contracting Officer, inventory schedules covering all items of Government property (including any resulting scrap) not consumed in performing this contract or delivered to the Government. The Contractor shall prepare for shipment, deliver f.o.b. origin, or dispose of the Government property as may be directed or authorized by the Contracting Officer. The net proceeds of any such disposal shall be credited to the contract price or shall be paid to the Government as the Contracting Officer directs.

(j) *Abandonment and restoration of Contractor's premises.* Unless otherwise provided herein, the Government -

(1) May abandon any Government property in place, at which time all obligations of the Government regarding such abandoned property shall cease; and

(2) Has no obligation to restore or rehabilitate the Contractor's premises under any circumstances (e.g., abandonment, disposition upon completion of need, or upon contract completion). However, if the Government-furnished property (listed in the Schedule or specifications) is withdrawn or is unsuitable for the intended use, or if other Government property is substituted, then the equitable adjustment under paragraph (h) of this clause may properly include restoration or rehabilitation costs.

(k) *Communications.* All communications under this clause shall be in writing.

(l) Overseas contracts. If this contract is to be performed outside of the United States and its outlying areas, the words "Government" and "Government-furnished" (wherever they appear in this clause) shall be construed as "United States Government" and "United States Government-furnished," respectively.

#### **I.104 952.245-2 GOVERNMENT PROPERTY (FIXED-PRICE CONTRACTS)**

Modify FAR 52.245-2 by adding "and the DOE Acquisition Regulation Subpart 945.5," after the reference to FAR Subpart 45.5 in the first sentence of paragraphs (e)(1) and (e)(2) of the clause.

#### **I.105 52.249-1 TERMINATION FOR CONVENIENCE OF THE GOVERNMENT (FIXED-PRICE) (SHORT FORM). (APR 1984)**

The Contracting Officer, by written notice, may terminate this contract, in whole or in part, when it is in the Government's interest. If this contract is terminated, the rights, duties, and obligations of the parties, including compensation to the Contractor, shall be in accordance with Part 49 of the Federal Acquisition Regulation in effect on the date of this contract.

#### **I.106 52.249-8 DEFAULT (FIXED-PRICE SUPPLY AND SERVICE). (APR 1984)**

(a)(1) The Government may, subject to paragraphs (c) and (d) of this clause, by written notice of default to the Contractor, terminate this contract in whole or in part if the Contractor fails to -

- (i) Deliver the supplies or to perform the services within the time specified in this contract or any extension;
- (ii) Make progress, so as to endanger performance of this contract (but see subparagraph (a)(2) of this clause); or
- (iii) Perform any of the other provisions of this contract (but see subparagraph (a)(2) of this clause).

(2) The Government's right to terminate this contract under subdivisions (a)(1)(ii) and (1)(iii) of this clause, may be exercised if the Contractor does not cure such failure within 10 days (or more if authorized in writing by the Contracting Officer) after receipt of the notice from the Contracting Officer specifying the failure.

(b) If the Government terminates this contract in whole or in part, it may acquire, under the terms and in the manner the Contracting Officer considers appropriate, supplies or services similar to those terminated, and the Contractor will be liable to the Government for any excess costs for those supplies or services. However, the Contractor shall continue the work not terminated.

(c) Except for defaults of subcontractors at any tier, the Contractor shall not be liable for any excess costs if the failure to perform the contract arises from causes beyond the control and without the fault or negligence of the Contractor. Examples of such causes include (1) acts of God or of the public enemy, (2) acts of the Government in either its sovereign or contractual capacity, (3) fires, (4) floods, (5) epidemics, (6) quarantine restrictions, (7) strikes, (8) freight embargoes, and (9) unusually severe weather. In each instance the failure to perform must be beyond the control and without the fault or negligence of the Contractor.

(d) If the failure to perform is caused by the default of a subcontractor at any tier, and if the cause of the default is beyond the control of both the Contractor and subcontractor, and without the fault or negligence of either, the Contractor shall not be liable for any excess costs for failure to perform, unless the subcontracted supplies or services were obtainable from other sources in sufficient time for the Contractor to meet the required delivery schedule.

(e) If this contract is terminated for default, the Government may require the Contractor to transfer title and deliver to the Government, as directed by the Contracting Officer, any (1) completed supplies, and (2) partially completed supplies and materials, parts, tools, dies, jigs, fixtures, plans, drawings, information, and contract rights (collectively referred to as "manufacturing materials" in this clause) that the Contractor has specifically produced or acquired for the terminated portion of this contract. Upon direction of the Contracting Officer, the Contractor shall also protect and preserve property in its possession in which the Government has an interest.

(f) The Government shall pay contract price for completed supplies delivered and accepted. The Contractor and Contracting Officer shall agree on the amount of payment for manufacturing materials delivered and accepted and for the protection and preservation of the property. Failure to agree will be a dispute under the Disputes clause. The Government may withhold from these amounts any sum the Contracting Officer determines to be necessary to protect the Government against loss because of outstanding liens or claims of former lien holders.

(g) If, after termination, it is determined that the Contractor was not in default, or that the default was excusable, the rights and obligations of the parties shall be the same as if the termination had been issued for the convenience of the Government.

(h) The rights and remedies of the Government in this clause are in addition to any other rights and remedies provided by law or under this contract.

**SECTION J - LIST OF ATTACHMENTS****J.1 LIST OF ATTACHMENTS (MAR 1999)**

ATTACHMENT	DESCRIPTION	PAGES
A	Statement of Work	71 - 91
B	Reporting Requirements	92 - 103
C	Performance Evaluation Plan	104 - 127
D	Department of Labor Wage Determination	128 - Separate file
E	Cost Management Report / Staffing Summary Report Invoice Detail Report	129 - Separate file
F	Cost Exhibits	130 - Separate file

**J.2 ATTACHMENT A - STATEMENT OF WORK (MAR 1999)****STATEMENT OF WORK/PERFORMANCE WORK STATEMENT****INFORMATION TECHNOLOGY AND ENGINEERING SUPPORT (ITES) SERVICES FOR THE  
NATIONAL ENERGY TECHNOLOGY LABORATORY (NETL)**

The following format has been used for this statement of work:

- 1.0 Introduction
- 2.0 Scope
- 3.0 Applicable Documents
- 4.0 Service Areas/Performance Requirements/Necessary Conditions
- 5.0 Notes/Guidance
- 6.0 Glossary

**1.0 Introduction****1.1 NETL Background**

The National Energy Technology Laboratory (NETL) is a multi-purpose national laboratory, owned and operated by the U.S. Department of Energy (DOE). The NETL implements research and development (R&D) programs to advance energy and energy-related environmental technology. The DOE Assistant Secretary for Fossil Energy is the NETL's Lead Program Secretarial Officer. The greatest portion of funding to NETL comes from DOE's Office of Fossil Energy; the remainder, about 10%, comes from other DOE programs, e.g., the Office of Energy Efficiency and Renewable Energy, as well as other federal agencies.

NETL is the only national laboratory within the DOE complex that is Government-owned and operated (GOGO). NETL employees conduct various functions, including performing in-house research and development activities, implementing contracted R&D efforts, performing analysis to support policy development, and establishing partnerships through licensing and CRADA activities. NETL has the authorities of a DOE operations office integrated with the implementing functions typically conducted by DOE Management and Operating (M&O) Contractors. Approximately 590 federal employees work on-site at NETL. The staff also includes approximately 550 Contractor employees which support NETL's activities.

**1.2 NETL Mission**

The primary mission of NETL is to conduct and implement science and technology programs to resolve the environmental, supply, and reliability constraints of producing and using fossil resources. This work is segmented according to coal, oil, and gas programs. Additional information on NETL's R&D programs can be found at [www.netl.doe.gov](http://www.netl.doe.gov).

The NETL vision is to be the preferred provider of energy technology and policy options that benefit the public. To do this the laboratory will strive to:

- Become a world-class institution noted for the advancement of energy science and technology by attracting leading researchers and establishing state-of-the-art facilities.
- Create a research environment that fosters multi-disciplinary collaboration and the generation of innovations with the potential for major improvements in the cost, environmental performance, and reliability of energy services.
- Be recognized for addressing energy and environmental issues through partnerships with research institutions, the private sector, and Government agencies.
- Promote economic development through supporting the commercialization of technology, building an educated workforce, and establishing strong collaborations with academic institutions and businesses.

**1.3 Goals of This Contract**

### 1.3.1 Background

The cornerstone of the current Information Technology (IT) support services contract provides support for the day-to-day operation of NETL computer facilities and other computing resources, including servers, networks, telephone, video teleconferencing, desktop computers, peripherals, technical support for the end users, and software engineering. Since the inception of the existing contract, NETL has experienced a dramatic expansion of requirements and services that are classified as IT engineering. Activities within this arena require a strategic and systematic approach to solution development, require knowledge of Enterprise Architecture methodologies, and often have a focus on analyzing evolving technologies, system design, and infusion of new technologies into the NETL IT infrastructure.

Factors driving these requirements include:

- The President's Management Agenda which includes expanded electronic Government initiatives with emphasis on citizen-centered electronic Government.
- In the aftermath of 9/11 terrorist attacks, all federal installations have had to comply with an increasing number of directives related to cyber security.
- The Clinger-Cohen Act requires that federal organizations have robust processes in place that provide a framework for selection, management and control of IT investments. NETL has established an Enterprise Architecture (EA) Team and developed an EA Investment Management Process, to govern its IT investment.
- NETL has adopted a 3-year planning cycle designed to identify and implement IT strategic initiatives that support the labs' requirements with a major focus on enabling technologies that facilitate deployment of DOE-wide E-Government initiatives.

### 1.3.2 Goals

A goal of this contract is to acquire the ability to be responsive to these new requirements and to quickly respond to the ever-changing requirements of the complex IT environment. The expectation is that this contract will facilitate access to a cadre of requisite experience, skills, and personnel to plan and implement a new requirement over a limited time span and augment the core contract personnel with specialized skills necessary to design and deploy new technologies and solutions. With this goal achieved, activities such as the following will be easily accommodated: Technology focused feasibility studies, process re-engineering, business analysis, systems analysis, system design, enterprise architecture, software development at increasingly higher levels of the Software Engineering Institute/Capability Maturity Model, preparation of technical specifications related to acquisition of hardware and software, deployment of complex rapidly developing new technologies into the existing IT environment, risk assessments, electronic data interchange, electronic commerce and E-Government, knowledge management, and infusion of new cyber security technologies.

Another goal of this contract is to move to an overarching project management approach to ensure that:

- Requirements are satisfied
- Costs are controlled
- Schedules are met
- Return on Investment (ROI) is maximized
- Business objectives are attained

An additional goal of the contract is to continue to support the day-to-day operation of NETL computer facilities and other computing resources.

## 2.0 Scope

### 2.1 Types of Services

Services shall cover the full breadth of information technology support essential for a multi-location, multi-function, United States national laboratory. The types of services include, but are not limited to, the following:



- Maintenance and Operations
  - Cyber Security
  - Computer Facility Operations (Client Server) Support
  - Desk Top (End User) Support
  - Telecommunications Services
  - Networks (Data Services)
  - Client Systems Engineering
- Enterprise Engineering
  - Enterprise Architecture Support
  - Enterprise Systems Development and Maintenance
    - Enterprise Systems - ESD
    - Enterprise Systems – CHRIS
    - Enterprise Systems – CBT
- Information Technology Variable Engineering Task
- Management and Oversight

## **2.2 Resources**

### **2.2.1 Contractor-Furnished Resources**

The Contractor shall furnish all personnel, facilities, equipment, materials and supplies necessary to perform the work under this contract, except for that specifically identified as being provided by the Government in Section 2.2.2.

### **2.2.2 Government-Furnished Resources**

The resources to be furnished by the Government for use in accomplishing the work under this contract can be viewed during the solicitation phase of this acquisition in the electronic reading room located at <http://www.netl.doe.gov/business/solicit/ssc2003/> and are governed by Clause H.4 “Government Property and Data” in Section H of this contract.

## **2.3 Core Work and Variable Work**

IT tasks will consist of either core work or variable work. These types of work will differ by their required duration, their resource commitment/location, or their frequency.

### **2.3.1 Core Work**

Core work consists of tasks that are ongoing or frequently conducted. Core work will be conducted using personnel located on-site at an NETL location. Core work may be conducted using personnel located off-site subject to Contracting Officer Representative’s (COR) approval.

### **2.3.2 Variable Work**

Variable work will be defined and funded as required and supplements core work on an as needed basis. Variable work may require specialized skills or additional resources.

## **3.0 Applicable Documents**

The following documents are referenced in this statement of work. This list is not intended to be an exhaustive list.

Clinger-Cohen Act  
 The President’s Management Agenda  
 EA Investment Management Process  
 National Institute of Standards and Technology (NIST) Standards

#### **4.0 Necessary Conditions/Service Areas/Performance Requirements**

The work to be accomplished under this statement of work is identified under individual service areas or as necessary conditions. The work is described through the use of performance requirements.

##### **4.1 General Necessary Conditions**

Some requirements are supplemental to or supportive of the accomplishment of the performance requirements. These requirements are identified as Necessary Conditions. These conditions, while they may not be accompanied by measures and expectations, must be satisfied for the Contractor to attain maximum eligible fee. The following necessary conditions apply to all of the work identified under this statement of work.

###### **NECESSARY CONDITION No. 4.1.1 – Access Security**

The Contractor shall ensure access security (administrative and configuration) to NETL IT systems. Ensure that only authorized individuals have knowledge of such passwords and accounts.

###### **NECESSARY CONDITION No. 4.1.2 – Billing Disputes**

The Contractor shall review 3<sup>rd</sup> party IT vendor invoices and resolve billing disputes for the Government and ITES related purchases.

###### **NECESSARY CONDITION No. 4.1.3 – Certification and Accreditation**

The Contractor shall conduct scheduled and as-needed risk assessments, vulnerability assessments, certifications, and accreditations of NETL's systems and applications in accordance with DOE regulations.

###### **NECESSARY CONDITION No. 4.1.4 – Contingency Plans**

The Contractor shall develop and maintain contingency plans for all IT services, systems and major applications supported through this contract unless specifically excluded by the COR.

###### **NECESSARY CONDITION No. 4.1.5 – Drawings and Documentation**

The Contractor shall prepare and maintain any operational drawings, technical architecture as-built drawings, and diagrams that facilitate the documentation and understanding of NETL processes and/or systems.

###### **NECESSARY CONDITION No. 4.1.6 – Information Technology Change Process**

The Contractor shall actively participate in the Information Technology Change Control process. This includes, but is not limited to, consulting with others to determine the impact on NETL's environment, preparing and submitting change requests, implementing approved change requests in accordance with the guidance provided by the Configuration Control Board, developing and maintaining supporting documentation, adhering to the change control processes in effect, reviewing the processes in effect and recommending improvements, and participating in Configuration Control Board meetings as needed.

###### **NECESSARY CONDITION No. 4.1.7 – Information Technology Solutions**

The Contractor shall inform users accurately and expediently regarding the application of IT to solve their information needs.

###### **NECESSARY CONDITION No. 4.1.8 – IT Procurement Support**

The Contractor shall provide IT procurement support to include, but not be limited to, development of specifications to meet defined requirements, preparing IT procurement requests, performing advance IT market surveys to determine cost estimates for various initiatives and identify most favorable pricing sources.

###### **NECESSARY CONDITION No. 4.1.9 – IT Systems Changes/Enhancements**

The Contractor shall proactively recommend changes and/or enhancements to IT systems to provide better efficiency, productivity, stability, and/or cost savings.

###### **NECESSARY CONDITION No. 4.1.10 – Maintenance Agreement Support**

The Contractor shall provide IT resource (hardware, software, copiers, and FAX equipment) maintenance agreement support to include, but not be limited to, notifying the associated ITD Functional Lead of any maintenance

agreements or software licenses that will expire within 60 days prior to the expiration date and submit the purchase requisition to the Government procurement system for renewal at least 45 days prior to the expiration date; coordination of review of maintenance agreements (to ensure requirements of coverage are met); coordination of site visits to perform maintenance by external providers; coordination of return to vendor for repair, items that are not covered by onsite maintenance agreements; and coordination of repair of items not covered by maintenance agreement as required.

**NECESSARY CONDITION No. 4.1.11 – Measure Performance and Results**

The Contractor shall recommend and implement methods to measure performance and results, including customer satisfaction.

**NECESSARY CONDITION No. 4.1.12 – Meeting Participation**

The Contractor shall actively and fully participate in meetings associated with the effort defined in this performance work statement. Active and full participation includes meeting preparation, meeting attendance, verbal participation, and completion of resulting action items within the assigned due date.

**NECESSARY CONDITION No. 4.1.13 – Policy and Procedure Support**

The Contractor shall provide support in the design, development, implementation, and maintenance of information technology policies and procedures commensurate with federal regulations and available technology.

**NECESSARY CONDITION No. 4.1.14 – Project Management**

The Contractor shall provide a consolidated and overarching project management function that is responsible for: ensuring project plans, including resource requirements and projected costs, are developed for each project; managing the interaction and coordination of resources; meeting all project schedules; maintaining and communicating comprehensive project plans and schedules; ensuring cost and resource projections are not exceeded; and ensuring effective communication of efforts and activities.

**NECESSARY CONDITION No. 4.1.15 – Qualified Personnel**

All work performed through this contract shall be carried out by personnel who are fully qualified to perform the effort described herein.

**NECESSARY CONDITION No. 4.1.16 – Software License Management**

The Contractor shall provide software license management support to include, but not be limited to, tracking license distribution, ensuring adequate license coverage by informing the appropriate ITD Functional Lead when available licenses are nearly exhausted, interpreting license agreements, seeking alternative licensing vehicles/pricing, performing research for licensing initiatives, collection of information necessary to respond to internal and external licensing audits, verifying license upgrade conditions are met, tagging software media using Government issued labels, tracking software licenses using the Government property management system, and retiring and disposing of excess license materials (in conjunction with the Government property management function).

**NECESSARY CONDITION No. 4.1.17 – Standard Operating Procedures**

The Contractor shall perform all assigned functions/activities using standard operating procedures (SOPs) that combine the contractor's corporate experience and standards with NETL's existing processes. The operating procedures shall be documented, configuration controlled, and all staff shall be trained to adhere to them.

**NECESSARY CONDITION No. 4.1.18 – State of the Art Technologies**

The Contractor shall research, review, evaluate, issue white papers, and provide recommendations regarding new and emerging state-of-the art IT technologies for their potential impact to the operating environment of NETL. If approved for implementation, recommend a plan for the appropriate integration into the NETL infrastructure.

**NECESSARY CONDITION No. 4.1.19 – Strategic/Operational Plans**

The Contractor shall participate in the development of strategic and operational plans for the future direction of IT activities.

**NECESSARY CONDITION No. 4.1.20 – Submission of Reports**

The Contractor shall ensure that all required reports and invoices are submitted on time, are error free, and of high quality.

**NECESSARY CONDITION No. 4.1.21 – System Auditing**

The Contractor shall periodically audit all systems and applications for compliance with policies, standards and baselines.

**NECESSARY CONDITION No. 4.1.22 – Uniform Delivery of Services**

NETL, although dispersed geographically, functions as a single organization from both a managerial and technical infrastructure perspective. All IT services provided on-site at any NETL office shall be delivered in a uniform and consistent manner.

**NECESSARY CONDITION No. 4.1.23 – Focused Standards List**

The Contractor shall adhere to all pertinent NETL Focused Standards as indicated in the Focused Standards List. The Focused Standards List can be viewed on the Internet in the established electronic reading room, during the solicitation phase, at <http://www.netl.doe.gov/business/solicit/ssc2003/index.html> , and on the Intranet, after contract award, at <http://intranet/project/ESHINFO/standard/focused.pdf> . This Focused Standards List has been primarily derived from selected Standard References contained in NETL issued directives. This list is the totality of ES&H standards and requirements that (through analysis of specific operations) apply to NETL's operations. It should not be construed that all of the standards on the list would be applicable to operations required under this solicitation.

**4.2 Service Area - OVERSIGHT AND LOGISTICS**

The Contractor shall provide an overarching management function that will ensure effectiveness, efficiency, and synergy of the effort performed under this contract. The Contractor shall do the following, but not be limited to:

- A. Provide logistics support for, but not limited to, Enterprise Architecture (EA) Team, Configuration Control Board (CCB), Architecture Control and Implementation Board (ACIB), and planning activities. Logistics support includes, but is not limited to, meeting coordination; action item tracking; meeting content documentation; change control administration; and the creation, collection, and distribution of meeting support materials.
- B. Provide user communication support to include, but not be limited to, maintaining the ITD Intranet Tips and Tricks information, developing user help aids, coordinating the development and subsequent publishing of Intranet postings, and maintaining ITD Intranet web pages (content and appearance).
- C. Provide organizational reporting support to include, but not be limited to, the gathering and compilation of information for Office of Management and Budget submissions and other Departmental or Government-wide calls for information, gathering and assembling information for NETL weekly report submission, and gathering and assembling information to support the publishing and maintenance of high level metrics.
- D. Provide Information Technology Division (ITD) property tracking support to include, but not be limited to, tagging of IT hardware (when required), generation of ad hoc reports from the Government property management system to support reporting requirements and analyses, documenting IT property moves, and reconciliation of IT property inventories.

**REPORTS:**

- 1) ITD Weekly Report
- 2) High Level Metrics Monthly Report
- 3) CCB Meeting Minutes Report (to be completed within 5 business days of event)
- 4) CCB Request Status Report (to be completed in advance of a scheduled meeting)
- 5) ACIB Meeting Minutes Report (to be completed within 3 business days of event)
- 6) EA Team Meeting Minutes Report (to be completed within 3 business days of event)

- 7) Ad hoc Property Reports (to be completed within 5 business days of request)
- 8) Maintenance Coverage Status Monthly Report
- 9) Technology Forecast Quarterly Report
- 10) IT Procedure Status Quarterly Report
- 11) Master Project Schedule Bi-Weekly Report
- 12) Annual Travel and Training Plan

#### **Performance Standards**

The Performance Measures will be defined in the Performance Evaluation Plan (PEP). The measures will be established to cover Quality, Timeliness, and/or Cost.

#### **Performance Measures/Expectations**

The Performance Measures/Expectations for this service area are identified in the Performance Evaluation Plan (PEP). Measures are rated on a scale from Excellent to Poor. Expectations are for all standards to be performed satisfactorily.

### **4.3 Service Area - MAINTENANCE AND OPERATIONS**

#### **4.3.1 Sub-Service Area - CYBER SECURITY**

Cyber security provides support for NETL's unclassified network infrastructure to ensure a safe and secure environment for the network and all of its components. The Contractor shall, in the event of a change in the security of all or part of NETL's network, expand the support to provide staff capable of operating in a classified environment. Specific objectives of cyber security will include, but not be limited to:

- A. Provide engineering support to address cyber threats and the increasing number of regulations related to cyber security. This involves: investigating biometric identification for stronger authentication, new methods of network intrusion detection, virus shields, digital signatures, and public key technologies for infusion into the NETL IT environment in support of the President's E-Government initiatives and lab requirements.
- B. Work closely with all internal and external entities to ensure compliance with cyber security "best practices" for the: identification of critical information, analysis of threats, analysis of vulnerabilities, assessment of risks, and application of countermeasures.
- C. Operate and administer NETL's key cyber-security infrastructure including: firewalls, intrusion detection systems, content filtering/monitoring, vulnerability assessment tools, file integrity monitoring, centralized log store, and other network/system monitoring tools.
- D. Maintain a 24/7/365 cyber incident monitoring and response capability. To include: 24/7/365 monitoring of firewall and intrusion detection systems and formal documentation and escalation of incidents.
- E. Maintain a cyber security incident response team composed of members capable of quickly responding to an escalated incident.
- F. Coordinate incident responses with proper internal, external, law enforcement, and contract authorities.
- G. Produce and maintain standard baselines and procedures for secure configuration of NETL standardized operating systems.
- H. Administer and maintain and/or produce and/or acquire cyber security related training materials. Conduct cyber security training utilizing training materials acquired or developed.
- I. As part of routine or special request operations investigate, document, and report incidents of waste, fraud, and abuse of information technology resources.
- J. Conduct special projects involving evaluation, development, and application of information security technology, plans, policies, and procedures.

**REPORTS:****CYBER incident report (CIAC)****Firewall usage and demographic reports (monthly)**

- What services are being used
- Type of traffic
- Quality of service

**Intrusion detection system reports (monthly)**

- Events that are detected
- Type of events detected
- Trend analysis

**Anti virus reports (monthly)**

- What viruses are detected
- Actions taken
- Quantity and summary reports

**Border scanning reports (monthly)**

- What is detected, when detected, and volume
- Blocking analysis and details
- Activity and usage reports by user(s) and category
- Activity reports by category (type of site) and time of access
- Browse time reports by user(s) and category
- Connection and bandwidth reports by user(s) and category

**Audit reports (monthly)**

- Progress on all projects
- Log auditing activities
- CIAC notices and actions taken/completed
- Vulnerability scans and analysis

**Policy and procedure reporting**

- Quarterly report of all remote access accounts
- Monthly report of all accounts terminated for lack of use, termination of employee, abuse of accounts, etc.
- Quarterly report of all employees that have administrative level access and a copy of all system level privileges forms signed during this period.
- Report on any major modification or additions of general support systems or major applications.
- Quarterly report of reviews of system logs.
- Monthly report of all irregularities found during the review of system logs.
- Quarterly report on employees with computer facility access.

**Investigations or security reports**

- Ad-hoc on investigations or security concerns

**Performance Standards**

The Performance Measures will be defined in the Performance Evaluation Plan (PEP). The measures will be established to cover Quality, Timeliness, and/or Cost.

**Performance Measures/Expectations**

The Performance Measures/Expectations for this service area are identified in the Performance Evaluation Plan (PEP). Measures are rated on a scale from Excellent to Poor. Expectations are for all standards to be performed satisfactorily.

**4.3.2 Sub-Service Area - COMPUTER FACILITY OPERATIONS (CLIENT SERVER) SUPPORT**

The Contractor shall provide the necessary supervision and labor to support the operation of the NETL computer facilities and other computing resources; and provide analytical, technical, administrative, and engineering support for the connection of desktop computers, mini-computers, servers (file, data base, and application), peripherals, workstations, and other devices into the NETL local, metropolitan, and wide area network(s) within and outside of NETL. The Contractor shall rigorously attempt to achieve 100% availability for all of NETL's IT services and computing resources and do the following, but not limited to:

- A. Monitor all computer facility computer systems to ensure maximum availability of the IT services they provide. Upon detection of computer system problems or failures, perform remedial actions to restore the associated IT services.
- B. Run and technically support production jobs in accordance with defined schedules and in compliance with current policies and procedures. This support includes, but is not limited to, hardware maintenance, software maintenance, and performing data base maintenance procedures including data base backups and restores.
- C. Operate and maintain the hardware and operating system software for all WEB, database, file, print, and application servers, as well as, firewalls, network monitoring systems, and email systems.
- D. Perform NetWare, Windows, and UNIX server backups to provide for system restoration, file and database recovery, and disaster recovery.
- E. Recover, reload, and restore files, server volumes, and databases as required to provide timely user access to required data.
- F. Develop, maintain, and test each calendar year a Disaster Recovery Plan for the NETL computer facilities and the networks. The Contractor will certify to, and receive documented approval from, the designated ITD representative that the test was satisfactorily completed.
- G. Conduct a comprehensive preventive maintenance (PM) program for NETL's hardware and software. These PM activities shall be developed and implemented in a manner consistent with industry standards and guidelines, and manufacturer-recommended maintenance schedules. It will be necessary that the method utilized in performing PM activities ensures the impact upon the NETL staff is kept at a minimum level. A yearly PM schedule is to be published to all NETL employees allowing adequate mission planning during planned service outages.
- H. Provide technical support for operation and maintenance of NETL's collaborative messaging system (mailbox, calendar, scheduling, and integrated document managing). Operate and maintain both inbound and outbound Internet e-mail services for all NETL desktop computers and workstations connecting to the NETL Network. Operate and maintain web-based e-mail services.
- I. The Contractor shall provide resource utilization and capacity planning support. This should include but not be limited to baselining utilization of server resources (CPU, memory, storage space, backup capacity), monitoring of the server resources to identify utilization/consumption trends, and projecting when resource utilization/consumption will be such that delivery of services by the servers falls below acceptable performance levels. The Contractor shall provide recommendations for server and server component (hardware and software) replacement, upgrade, enhancement to prevent allowing the delivery of services provided by the servers to fall below acceptable levels.

**REPORTS:**

- 1) Server Virus Signature Level Weekly Report
- 2) Tape Backup Daily (business) Report
- 3) Server Uptime Monthly Report

- 4) Disk Space Utilization Daily (business) Report
- 5) Data Restore Summary Weekly Report
- 6) Service Interruption Reports (to be completed within 1 business days of event)
- 7) Preventive Maintenance Summary Report
- 8) Completed Tape Restore Checklists (to be provided within 1 business days of event)
- 9) Annual Disaster Recovery Plan, test results, and corrective action

#### **Performance Standards**

The Performance Measures will be defined in the Performance Evaluation Plan (PEP). The measures will be established to cover Quality, Timeliness, and/or Cost.

#### **Performance Measures/Expectations**

The Performance Measures/Expectations for this service area are identified in the Performance Evaluation Plan (PEP). Measures are rated on a scale from Excellent to Poor. Expectations are for all standards to be performed satisfactorily.

### **4.3.3 Sub-Service Area - DESKTOP (END USER) SUPPORT**

The Contractor shall provide technical and administrative support for the operation, installation and maintenance of existing, new, and upgraded software and hardware for NETL's client (end user) community. The hardware and software can include, but are not limited to, desktop and laptop computers, scientific workstations, terminals (connected to a host), PDAs, handheld computers, printers, modems, network interface cards, disk drives, memory, COTS, custom software, operating systems, etc.

The Contractor shall operate an on-site helpdesk, during standard hours of operation, with a technical knowledgeable, courteous, and responsive staff. The role of the Helpdesk will be to resolve questions concerning the application software, hardware, and network access used at NETL; log and track requests for resolution of hardware, software, and network access problems; and handle installation, maintenance, and repair/replacement of hardware and software applicable to end users. The Contractor's responsibilities shall include, but are not limited to, providing the following support for desktop and general computing services:

- A. Record and assign all support calls to the NETL Helpdesk. Track all client, network, application, and information technology system problems and/or repairs.
- B. Quickly respond and resolve client hardware and software problems by phone to the maximum extent possible and at the client station when required. Users and Functional Leads shall be kept informed on the progress of the action.
- C. Provide on-site repairs for desktop computers, printers, monitors, and other peripherals. Repairs will consist primarily of component replacement. Complex repairs will be accomplished off-site by a Government-designated vendor. The Contractor will track equipment repaired off-site to ensure that work is done in a timely manner.
- D. Manage a spare-parts inventory for computers, communications equipment, and peripheral components to minimize equipment repair time. Parts, supplies, and equipment required for on-site repairs will be purchased by the Government as requested by the Contractor.
- E. Coordinate and support the installation, service, technical consulting, and repair of desktop computers, printers, terminals, workstations, and other computing resources.
- F. Maintain and operate a central repository for providing, maintaining, and managing a "loaner pool" of laptop computers, replacement desktop computers, cell phones, and pagers.
- G. Develop and maintain user help guides, as required. Develop and conduct user training of supported hardware and software based on guidance from the IT Division.
- H. Notify users and key NETL personnel of planned and unplanned outages of systems, networks, and other major components.



- I. Maintain a detailed inventory of user assigned, and ITD issued, desktop equipment, e.g., workstations, printers, scanners, external CD-RW, external DVD, PDAs, etc.
- J. The Contractor shall prepare project plans, including resource requirements and projected cost. Maintain project plans and report on assigned initiatives and scheduled milestones to ensure that cost and resource projections are not exceeded.

#### **REPORTS:**

- 1) Weekly report of all overdue HEAT tickets.
- 2) Monthly voice mail report for the Helpdesk.
- 3) Monthly HEAT call volume report.

#### **Performance Standards**

The Performance Measures will be defined in the Performance Evaluation Plan (PEP). The measures will be established to cover Quality, Timeliness, and/or Cost.

#### **Performance Measures/Expectations**

The Performance Measures/Expectations for this service area are identified in the Performance Evaluation Plan (PEP). Measures are rated on a scale from Excellent to Poor. Expectations are for all standards to be performed satisfactorily.

#### **4.3.4 Sub-Service Area - TELECOMMUNICATIONS SERVICES**

The Contractor shall provide management and technical support for NETL's telecommunications systems including teleconferencing, voice, voice mail, cellular, paging, radio frequency services, video telecommunications conferencing, satellite television, cable television, and conference room audio/visual systems. The Contractor shall:

- A. Provide management of NETL's telecommunications services during standard hours of operation to ensure requests for services, service changes, maintenance, and service disconnects are addressed within established NETL guidelines.
- B. Provide Moves, Adds, and Changes of phone service at the PBX, communication closet, internal circuit and handset levels.
- C. Provide problem resolution, including, but not limited to, identify problems, troubleshoot and repair voice and data telecommunications circuits, coordination of repair of telecommunications equipment, site visits to perform maintenance by external providers, the return of equipment to vendor for repair and tracking of equipment being repaired.
- D. Perform remedial maintenance, as required, and periodic preventive maintenance on NETL's voice communications cable plant.
- E. Work with commercial vendors or other service providers (e.g., NIOSH), to resolve installation, performance and service disconnect issues in a timely manner.
- F. Manage and maintain NETL's voice messaging systems, including, but not limited to, system configuration, mailbox configuration, add/delete/change voice mailbox configurations, and maintain documentation of system/mailbox configurations. Regularly audit voice mail accounts to ensure voice mail assignments are current, accurate and comply with federal regulations.
- G. Design, maintain, upgrade, test, and perform system integration for NETL non-secure video teleconferencing systems (e.g. room, desktop, etc), facilities, and networks.

- H. Maintain NETL's conference facility audio/visual systems, satellite and cable television systems. Test, diagnose and repair performance problems.
- I. Coordinate the disconnection of services when needed. This will include, but not be limited to, cellular services, paging services, dialup and broadband internet services, and local phone services.
- J. Coordinate the assignment of telecommunications equipment to NETL staff, maintain electronic records of equipment using the NETL property system. Maintain records of equipment repairs, failures, status, history, and other information.
- K. Coordinate the procurement of new approved services through Government agencies (e.g. GSA), prepare and submit service requests, develop implementation schedules, track schedules, and update telecommunications system documentation.
- L. Review invoices from commercial and Government agencies for telecommunications services, review usage, and verify charges. Notify DOE staff when usage or charges exceed established criteria.
- M. Plan, submit for approval, and implement changes to NETL's voice network architecture and infrastructure.
- N. Coordinate the use of assigned radio frequencies. Maintain documentation of assigned radio frequencies, system users and equipment.
- O. Coordinate the renewal of assigned radio frequency authorizations and the submission of applications for new radio frequency authorizations.
- P. Provide second level support to answer end user questions on the operation of telecommunications systems.
- Q. Coordinate the assignment of DOE provided calling cards. Maintain electronic records of call card assignments. Submit requests for new calling cards, calling card service changes and calling card cancellations to the designated DOE staff.
- R. Manage a spare-parts inventory for telecommunications equipment, and peripheral components to minimize equipment repair time. Parts, supplies, and equipment required for on-site repairs will be purchased by the Government as requested by the Contractor.
- S. Provide resource utilization and capacity planning support. This should include but not be limited to baselining utilization of telecommunications services (e.g. PBX trunk utilization), shared hardware usage (e.g. voicemail port usage), and hardware availability (e.g. PBX analog and digital port availability); identify utilization trends; and project when resource utilization/assignment will cause the availability of services to fall below acceptable performance levels. The Contractor shall provide recommendations for equipment and service replacement, upgrade, enhancement to prevent allowing the delivery of services to fall below acceptable levels.

#### **REPORTS:**

- 1) Monthly:
  - a) Telecommunications expenses – for each month of the current FY, listed by location showing service provider and service type. Expenses to be shown by month with year-to-date cumulative totals.
  - b) Video Conferencing Usage – For each month of the current FY, showing, showing each systems usage, total calls and total number of hours.
- 2) For each month of the current FY, with cumulative yearly totals:
  - a) Status and count of new repair calls.
  - b) Status and count of new service requests.
  - c) Status and count of new MAC requests.
  - d) Status and count of all open overdue repair, MAC and new service requests.
- 3) For each month of the current FY:
  - a) Status, count, system down time and resolution of all incidents affecting voice mail services.

- b) Status, count, system down time and resolution of all incidents affecting voice services to 16 stations or more.
- c) Status, count, system down time and resolution of all incidents affecting video conferencing services.
- 4) Monthly status of telecommunications projects. Report should describe current status, show planned versus actual schedule, show planned versus actual cost and identify potential cost and schedule issues.
- 5) Weekly status reports.
- 6) Monthly cell phone usage reports.

#### **Performance Standards**

The Performance Measures will be defined in the Performance Evaluation Plan (PEP). The measures will be established to cover Quality, Timeliness, and/or Cost.

#### **Performance Measures/Expectations**

The Performance Measures/Expectations for this service area are identified in the Performance Evaluation Plan (PEP). Measures are rated on a scale from Excellent to Poor. Expectations are for all standards to be performed satisfactorily.

### **4.3.5 Sub-Service Area - NETWORKS (DATA SERVICES)**

The Contractor shall provide technical support in the design, operation, upgrading, re-configuration, and selection of NETL network components, automated switched voice/data (Information Exchange) systems, and cable facilities. The Contractor shall:

- A. Provide engineering and technical support in the design, development, implementation, and maintenance of facilities, services, topologies, network protocols, network architecture, and equipment such as, but not limited to, fiber optic cable, Ethernet, FDDI (Fiber Distribution Data Interface), SONET (Synchronous Optical Network), ISDN (Integrated Services Digital Network), Asynchronous Transfer Mode (ATM), Frame Relay, packet switching networks, and connectivity elements of the networks (such as bridges, routers, hubs, and switches).
- B. Perform remedial maintenance, as required, and periodic preventive maintenance on NETL's data communications cable plant.
- C. Install, move, configure, maintain, monitor performance, test, diagnose, and resolve problems for all network hardware and software components.
- D. Install, maintain, update and operate software for network and/or network security.
- E. Coordinate circuit implementation and performance of communication networks with commercial vendors or other providers (e.g., NIOSH), resolve substandard communications performance in a timely manner, analyze hardware and software, and develop conceptual designs.
- F. Develop and implement network engineering contingency and evaluation plans.
- G. Update and maintain network engineering and operation documentation.
- H. Plan, implement and maintain a Network Management Control Center (NMCC). Determine requirements for, and implement, Network Management tools, and monitor all Admin LAN communication devices using these tools.
- I. Design, develop, document, implement, and maintain NETL's future and existing network infrastructure. Including: internet protocol coordination, domain name services (DNS), dynamic host configuration protocol (DHCP), and Public Key infrastructure (PKI).
- J. The Contractor shall provide resource utilization and capacity planning support. This will include, but not be limited to, baselining utilization of network resources, monitoring of network resources to identify utilization/consumption trends, and projecting when resource utilization/consumption will be such that delivery

of network services falls below acceptable performance levels. The Contractor shall provide recommendations for network component (hardware, software, service) replacement, upgrade, and enhancement to prevent allowing the network service performance to fall below the acceptable levels.

#### **REPORTS:**

- 1) Monthly:
  - a) Outage data for Network services – date/time outage reported, date/time service restored, corrective actions, and number of users affected.
- 2) For each month of the current FY, with cumulative yearly totals:
  - a) Count of new maintenance requests.
  - b) Count of new service change requests.
  - c) Status and count of all requests not completed with established time frame.
- 3) Monthly status of Network projects. Report should describe current status, show planned versus actual schedule, show planned versus actual cost and identify potential cost and schedule issues.
- 4) Weekly status reports.

#### **Performance Standards**

The Performance Measures will be defined in the Performance Evaluation Plan (PEP). The measures will be established to cover Quality, Timeliness, and/or Cost.

#### **Performance Measures/Expectations**

The Performance Measures/Expectations for this service area are identified in the Performance Evaluation Plan (PEP). Measures are rated on a scale from Excellent to Poor. Expectations are for all standards to be performed satisfactorily.

#### **4.3.6 Sub-Service Area - CLIENT SYSTEMS ENGINEERING**

The Contractor shall provide the necessary supervision and labor to support the operation of NETL client systems; provide analytical, technical, administrative, and engineering support for the connection of desktop computers, mini-computers, workstations, PDAs, handheld computers and other devices into the NETL local, metropolitan, and wide area network(s) within and outside of NETL. The Contractor shall provide necessary supervision and labor to support the design, deployment, configuration, integration, and maintenance of NETL client systems. This includes configuration and deployment of administrative computing software/applications to individual desktops.

- A. Develop complete, reliable, networked client systems through the integration of computing hardware, client operating systems, network operating systems, and application software.
- B. Design, develop, and maintain configurations for a variety of client computing systems, such as workstations, laptops, and handheld computers. This includes the configuration, integration, and support for a variety of peripheral devices such as printers, scanners, external storage devices, audio/video devices, and other accessories.
- C. Design, develop, and maintain installations of a variety of client operating systems. Included, but not limited to, activities associated with the investigation of new operating systems, installation techniques and options, the maintenance and update options for new and existing operating systems, and the configuration of the many different components of the workstation operating system to provide for reliable and stable integration of such in the NETL environment.
- D. Design, develop, and maintain installations for a variety of application software. This includes both COTS applications and internally developed applications.
- E. Design, create, and maintain standardized client images for deployment purposes. Included, but not limited to, activities associated with the creation and maintenance of preconfigured workstation “images” to facilitate the rapid deployment of new equipment and the rapid restoration of existing equipment.
- F. Utilize effective, efficient, and automated centralized management techniques for software deployment, maintenance, and configuration.

- G. Utilize centralized network tools for the management of client computing hardware and software.
- H. Troubleshoot and resolve "desktop system" errors, utilizing advanced analytical skills and troubleshooting techniques.
- I. Design, develop, and maintain client systems for remote access/mobile computing activities. This includes host and client components.

#### **REPORTS:**

- 1) Not Applicable.

##### **Performance Standards**

The Performance Measures will be defined in the Performance Evaluation Plan (PEP). The measures will be established to cover Quality, Timeliness, and/or Cost.

##### **Performance Measures/Expectations**

The Performance Measures/Expectations for this service area are identified in the Performance Evaluation Plan (PEP). Measures are rated on a scale from Excellent to Poor. Expectations are for all standards to be performed satisfactorily.

#### **4.4 Service Area - ENTERPRISE ENGINEERING**

##### **4.4.1 Sub-Service Area - ENTERPRISE ARCHITECTURE SUPPORT**

Enterprise Architecture (EA) is the process which provides the facilitation and governance to manage the IT/business alignment. The objective is to make effective business investment decisions. The EA process is driven by the strategic intent of the enterprise. EA serves as a bridge between strategy and implementation and develops an environment which provides flexibility and adaptability for changing business, information and application needs. Enterprise architecture provides a blueprint of where the organization is and where it would like to be. Through the use of explicit models and artifacts, the EA develops a roadmap to get there.

The Contractor shall provide the professional expertise and support in the planning, development and execution of NETL's Enterprise Architecture (EA). EA support shall cover the full breadth of EA, including Business Architecture, Information Architecture, Applications Architecture and Technology Architecture. The Contractor shall provide the following services:

- A. Work closely with NETL business representatives, often in workgroups or teams, to capture business goals and processes and the information needed to perform those processes. The captured data is used to develop architectural models that depict multiple views of the enterprise. The models are used to develop applications, identify potential process improvements, and communicate organizational functions.
- B. Using the information captured through performance of item A, create project work packages for use in defining and managing the application development effort. The package shall be of sufficient clarity and detail to allow development by a third party software application developer.
- C. Make the enterprise explicit through architectural modeling, which include current and future state models for four key components, Enterprise Business Architecture, Enterprise Information Architecture, Enterprise Technical Architecture, and Enterprise Solutions (or applications) Architecture.
- D. Produce models that effectively communicate to multiple target audiences.
- E. Bridge the gap between business and software engineering by serving as the business representative's liaison throughout the application development and deployment process.
- F. Add detail and clarity to NETL's high-level EA diagrams. At the highest levels NETL uses two diagrams to connect our architectural elements. Those diagrams are the Zachman Framework and the NETL Strategic Structural Model. The Strategic Structural Model is a matrix of organizational functions versus information

categories. The information necessary to add this detail is attained through the performance of item A. above as well as through the analysis and explicit modeling of organizational functions.

- G. Perform analysis on NETL EA and recommend initiatives which would best meet the business strategy. The analysis should include interrelationships & interdependencies which will aid in NETL decision making.
- H. Facilitation of IT portfolio management.
- I. Participate and provide technical expertise to NETL's EA Team. Support the EA Team in the performance of NETL's EA Investment Management Process.
- J. Measure NETL's EA utilizing industry standard measurement tools such as SEI CMM and other similar assessment tools.
- K. Capture and assess performance measures such as; number of projects completed, customer satisfaction, adherence to project schedules, number and impact of EA process improvements.
- L. Perform internal reviews at critical milestones throughout the EA process.
- M. Monitoring industry best practices, technical advances, and architectural standards.
- N. Communicate the value of EA within the NETL, promoting an understanding of the role EA plays in accomplishing NETL's mission. Communication should be tailored based upon the target audience.

#### **REPORTS:**

The Contractor shall submit a Monthly EA Progress Report which documents all relevant effort performed under the EA task, including but not limited to:

1. Workgroup and Project Related Meetings attendance.
2. Completion of assigned action items.
3. Lessons learned and associated opportunities for process improvement
4. Project status, including comparison to planned schedules and issues / roadblocks

#### **Performance Standards**

The Performance Measures will be defined in the Performance Evaluation Plan (PEP). The measures will be established to cover Quality, Timeliness, and/or Cost.

#### **Performance Measures/Expectations**

The Performance Measures/Expectations for this service area are identified in the Performance Evaluation Plan (PEP). Measures are rated on a scale from Excellent to Poor. Expectations are for all standards to be performed satisfactorily.

### **4.4.2 Sub-Service Area - ENTERPRISE SYSTEMS DEVELOPMENT AND MAINTENANCE**

#### **4.4.2.1 Task Area - ENTERPRISE SYSTEMS --- ESD**

The Contractor shall develop new application systems, and maintain and/or enhance existing NETL applications in accordance with NETL's Enterprise System Development Methodology. The methodology shall be applied in its entirety, or in part, commensurate with the complexity, size, and scope of each application. The application development and engineering activities performed in this evolutionary methodology shall provide a consistent, repeatable and secure environment to include: architecture, requirements capture, analysis and design, implementation, quality control and testing, deployment, environment management, configuration management and related project management, provide consultation and training. The Contractor shall do the following, but not be limited to:

As required, use NETL's standard development tools for new application systems or enhancements to existing application systems.

- A. Perform maintenance of application systems to include: changing and modifying systems through a change request procedure; system and program documentation updates; periodic reviews of system operations to ensure maximum effectiveness; and problem resolution of system failures and programming errors.
- B. Provide application management support to ensure appropriate change control and custom-application library management.
- C. Provide a Quality Control environment to test all new and changed application systems thoroughly to preclude failures in a production environment. Processes to eliminate Single Points of Failure shall be incorporated into Contractor work activities and Contractor shall inform ITD staff of all Single Points of Failures.
- D. Aggressively search for Commercial-off-the-Shelf (COTS), Government-off-the-Shelf (GOTS) or external sources to satisfy NETL's requirements for new or replacement application systems. Additionally, the Contractor shall leverage outsourcing services when beneficial to the Government.
- E. Architect, design and code application systems to ensure optimal performance and resiliency such that data can easily be recovered and restored from operating system crashes, program aborts and media failures.
- F. Develop APIs (application program interfaces), install and maintain COTS/GOTS and application software as required for various operating systems, databases, and programming language environments.
- G. Provide technical assistance for system integration functions utilizing available hardware and software interfaces, investigating potential integration functions and services, and installing and testing connections, interactions and operations between different operating, application, network, email, and database systems.
- H. Code, test, install, and monitor queries to generate reports and retrieve data from external systems, such as, DISCAS and other HQ databases and computer systems. Tools and languages used include, but are not limited to, Powerhouse, COBOL, Focus, and Lotus Notes.
- I. Where possible, utilize standards-based methodologies such as modeling and markup languages that describe software elements in pictorial form and allow data to be modeled and transmitted in platform and programming language independent format. Utilization of J2EE, CORBA, UML, PKI and Class Diagram technologies are required.
- J. Provide database administration for NETL database repositories to include, but are not limited to Oracle, Microsoft SQL Server, Lotus Notes and MS-Access.
- K. Provide documentation consistent with identified artifacts within the NETL Enterprise System Development Methodology and other documentation as required for software quality management.
- L. Apply project management principals to include but not limited to: Project scope, cost control, schedule, resource leveling, project phase management, risk, milestone tracking, deliverables, Return on Investment (ROI), Total Cost of Ownership (TCO).
- M. Within the Enterprise Systems environment, be responsible for the look and layout of product Web based applications. This includes but is not limited to image area, visual appeal, and navigability of the product site or set of pages. Technical capability shall be required to be aware of the production process followed to create the product artwork.

#### **4.4.2.2 Task Area - ENTERPRISE SYSTEMS --- CHRIS**

The Contractor shall provide support for the DOE Corporate Human Resources Information System (CHRIS). The CHRIS system is physically located at the NETL Morgantown facility. The Contractor shall maintain and/or enhance the CHRIS system consistent with the principles outlined in the Enterprise Systems –ESD section above. The Contractor shall provide the following services:

- A. Provide the support required performing the CHRIS UNIX systems administration support. This includes administration and implementation of UNIX systems at NETL and providing (as needed) remote support for the equipment located at HQ.
- B. Provide the necessary network and security architecture and infrastructure to support the CHRIS system consistent with related elements defined and outlined within this Statement of Work.
- C. Provide support for workstation configuration and backup. This includes supporting field sites encountering technical problems, providing additional backup support for PeopleSoft Configuration Management (upgrades and moving modifications), and preparing installation/documentation materials. Additionally, support is required to address the CHRIS system backup configuration at the DOE Headquarters location.

#### **4.4.2.3 Task Area - ENTERPRISE SYSTEMS --- CBT**

The Contractor shall support NETL computer-based training (CBT) efforts and provide the following:

- A. Provide support to aid in the development of CBT modules.
- B. Prepare text and/or graphics for training modules.
- C. Edit and/or test developed training modules (as required).
- D. Provide support to an ES&H training tracking system and an assessment tracking system and its related processes. Support HTML-format pages associated with relevant ES&H directives.

##### **Performance Standards**

The Performance Measures will be defined in the Performance Evaluation Plan (PEP). The measures will be established to cover Quality, Timeliness, and/or Cost.

##### **Performance Measures/Expectations**

The Performance Measures/Expectations for this service area are identified in the Performance Evaluation Plan (PEP). Measures are rated on a scale from Excellent to Poor. Expectations are for all standards to be performed satisfactorily.

#### **4.5 Service Area - INFORMATION TECHNOLOGY VARIABLE ENGINEERING TASK**

The Contractor shall provide support for variable tasks that will be defined and funded on an as needed basis. These tasks may require specialized expertise. The work may include tasks such as the following:

1. Implementation of COTS/GOTS solution to satisfy requirements.
2. Implementation/development of new systems that require a faster implementation than available resources allow.
3. Evaluation of multiple market offerings to determine best fit for satisfying requirements.
4. Execution of pilot projects employing new technologies not in production at NETL.
5. ROI studies on EA initiatives/proposals.
6. Costing studies to assess economic/budget impact of strategic directions.
7. Provide support for the rapid design and implementation of new information technology architecture and infrastructure to support emerging business requirements (e.g. J2EE, Metadata, Data Warehousing, and Portal Technology).
8. Third-party analysis of current state-of-the-art business, information, applications and/or technology architectures.
9. N-tiered JAVA based application development.
10. Technology market study to include assessment of current environment, competing technology solutions, technology trends, and market trends.
11. Workforce analysis study / human capital management.
12. Transition road-map (migration planning) which provides various scenarios to move from current state (as-is) to future state (to-be), e.g., NETL's possible movement toward handling classified information.
13. Solutions (applications) portfolio analysis, to include cost, value, risk, timing of benefits, and ROI.



14. Technology portfolio analysis consisting of a third-party professional analysis of a portion of or NETL's entire current state infrastructure to include recommendations for high ROI (return on investment) initiatives.
15. Major departmental or multi-agency system implementation plan, impact, gap analysis, and integration.
16. Application of industry measurement tools such as Software Engineering Institutes Capability Maturity Model (CMM).
17. External expert voice to present / converse with organizational executives on information technology subject(s) of strategic importance (could be subjects ranging from homeland security to the value of EDMS or portal technology.)
18. Research and preparation of Cyber Security documents, e.g., Cyber Security Program Plan, etc.
19. Augmenting staff to complete short-term projects requiring significant staff or expertise that is not needed to support normal daily activities.
20. Real-time web presentation (web portal) of on-going experiments for the Research and Development Organization.
21. Evaluate, recommend, test, and implement Electronic Laboratory Notebooks into the NETL environment for Research and Development.
22. General support for NETL's high speed Scientific LAN.
23. Support to NETL's scientific, research computing environment, including support for, but not limited to, NetWare and Windows 2000 servers, desktop and laptop computers, PDAs, handheld computers, printers, modems, network interface cards, disk drives, memory, COTS, custom software, operating systems, etc. Engineering software that may need installed and or maintained may include, but not be limited, to Bentley's AutoPlant plant design series including their instrumentation design suit, AutoCAD 2000i that works in relation to Bentley software and AutoCAD Mechanical Desktop and Inventor series, Flowsoft orifice run sizing software, MathCAD, ChemCAD, PVELite ASME section VII design software, Caesar II ASME B31.3 and B31.1 design software, and Algor finite element analysis software.

#### **Performance Standards**

The Performance Measures will be defined in the Performance Evaluation Plan (PEP). The measures will be established to cover Quality, Timeliness, and/or Cost.

#### **Performance Measures/Expectations**

The Performance Measures/Expectations for this service area are identified in the Performance Evaluation Plan (PEP). Measures are rated on a scale from Excellent to Poor. Expectations are for all standards to be performed satisfactorily.

### **4.6 Service Area – CONTRACT MANAGEMENT and ES&H**

The Contractor shall develop and implement innovative approaches and adopt practices that foster continual improvement in accomplishing the mission of NETL and in providing quality support services to NETL.

Furthermore, the Contractor shall use effective and efficient management structures, systems, and operations that are cost-effective while achieving and maintaining (1) high levels of quality and (2) a proactive environment, safety, and health (ES&H) culture in accomplishing NETL's mission. This proactive ES&H culture includes (1) the ability to apply DOE's Integrated Safety Management's (ISM) seven principles and five functions in the planning, budgeting, executing, and improving its management and work activities, (2) the successful execution of requirements in the Contractor's ISM plan, and (3) the continual improvement of NETL's environmental posture by using an environmental management system (EMS) to manage environmental risk.

The Contractor shall plan and execute work in such a manner that will foster the objective demonstration of competence in management areas such as (1) problem resolution, (2) coordination, (3) innovation, and (4) manpower management. In addition, the Contractor shall conduct all work in a manner that continually improves productivity, minimizes waste, and complies with all applicable laws, regulations, and terms and conditions of the contract, including attaining the contract's socioeconomic goals.

#### **Performance Standards**

The Performance Measures will be defined in the Performance Evaluation Plan (PEP). The measures will be established to cover Quality,

#### **Performance Measures/Expectations**

The Performance Measures/Expectations for this service area are identified in the Performance Evaluation Plan (PEP). Measures are rated on a scale

Timeliness, and/or Cost.

from Excellent to Poor. Expectations are for all standards to be performed satisfactorily.

## 5.0 Notes/Guidance

Reference 4.4.2.3 – NETL’s computer-based training (CBT) environment currently utilizes the Oracle RDBMS, Centura software toolkit and Macromedia's Authorware.

Reference 4.3.2 D. - In prior contracts, the minimum schedule for backups was full NetWare and Windows server backups, Monday through Friday, during non prime time hours. In prior contracts, the minimum schedule for UNIX server backups was full server backups during each Preventive Maintenance event. In prior contracts, the minimum schedule for CHRIS database files was a full backup of all essential database files, Monday through Friday during non prime time hours.

Reference 4.3.2 G. - In prior contracts, this work has been accomplished during off-hours to minimize the impact upon the majority of staff performing work at NETL.

Reference 4.3.3 - The Helpdesk currently accommodates an average of 2,000 calls per month.

Reference 4.4.2.1 – NETL current standard development tools include Centura SQL Windows, Delphi, Oracle Developer 2000, C++, Visual Basic, SQL, Microsoft Access, Lotus Notes, Microsoft SQL Server, WEBLogic and JAVA

Reference 4.4.2.1 F – Current applicable operating systems, databases and programming language environments include Novell NetWare, Windows 2000 Server, Windows 9x, Windows 2000 Professional, UNIX/LINUX, Centura SQL Windows, Delphi, Oracle Developer 2000, C++, JAVA, Visual Basic, SQL, Microsoft Access, Oracle RDBMS, Lotus Notes, and Microsoft SQL Server.

## 5.1 Minimum Qualifications

The Contractor will be required to identify the appropriate level of staffing for each labor category provided. The following are minimum qualifications for each level of staffing for this contract:

**Senior Staff** – Bachelor’s Degree and eight years related work experience or fourteen years of related work experience. With a Master’s Degree, six years of related work experience is acceptable.

**Intermediate 1 Staff** – Bachelor’s Degree and four years related work experience or ten years of related work experience. With a Master’s Degree, two years of related work experience is acceptable.

**Intermediate 2 Staff** – Bachelor’s Degree or six years of related work experience.

**Junior Staff** – High School Diploma or GED and two years of related work experience. An Associate Degree or Technical Certification in a related field is acceptable.

## 6.0 Glossary

### 6.1 Acronyms

<u>Acronyms</u>	<u>Definition</u>
ACIB	Architecture Control and Implementation Board
ATM	Asynchronous Transfer Mode
CBT	Computer Based Training
CCB	Configuration Control Board
CHRIS	Corporate Human Resources Information System
CIAC	Cyber Incident Report
CO	Contracting Officer

COR	Contracting Officer's Representative
COTS	Commercial off the Shelf
CMM	Capability Maturity Model
DHCP	Dynamic Host Configuration Protocol
DISCAS	Departmental Integrated Standard Accounting System
DNS	Domain Name Services
DOE	Department of Energy
EA	Enterprise Architecture
EDMS	Electronic Document Management System
ESD	Enterprise System Development
ES&H	Environmental Safety and Health
FDDI	Fiber Distribution Data Interface
GOGO	Government Owned – Government Operated
GOTS	Government off the Shelf
ISDN	Integrated Services Digital Network
ISM	Integrated Safety Management
ITD	Information Technology Division
LAN	Local Area Network
M&O	Management and Operating
MAC	Moves, Adds and Changes
NETL	National Energy Technology Laboratory
NIOSH	National Institute for Occupational Safety and Health
NMCC	Network Management Control Center
PBX	Private Branch Exchange
PEP	Performance Evaluation Plan
PKI	Public Key Infrastructure
PM	Preventive Maintenance
ROI	Return on Investment
SONET	Synchronous Optical Network
SOP	Standard Operating Procedures
TBD	To Be Determined
TCO	Total Cost of Ownership

## 6.2 Words/Phrases

### Performance Requirements

Performance requirements of this contract are expressed in the following manner:

**Performance Objective** - Objectives are identified in the basic contract, in narrative, for each service area. Performance objectives may also be found in the Task Orders issued under this statement of work.

**Performance Standards** - The characteristics or aspects of achieving an objective that will be monitored by the Government. The Government will review information that has been gathered for these critical aspects. Each objective may have one or more standard. The performance standards are listed in the Performance Evaluation Plan.

**Performance Expectations** - The targeted level of performance for each performance standard. Performance expectations are identified as the satisfactorily rating level for each standard.

**Performance Measures** – The range of levels of performance for each performance standard. Performance measures are rated on a scale of Excellent to Poor.

**Electronic Reading Room** – All references in the Statement of Work and the solicitation that refer to the “Electronic Reading Room - at <http://www.netl.doe.gov/business/solicit/ssc2003/index.html> ” indicates information that will be available only during the solicitation phase of this acquisition. This site will not be maintained after contract award.

**J.3 ATTACHMENT B REPORTING REQUIREMENTS CHECKLIST (JULY 1999)**

<b>1. AWARDEE: TBD</b>				<b>2. IDENTIFICATION NUMBER: DE-RP26-03NT41820</b>			
<b>REPORT SUBMISSION:</b>							
Reports shall be submitted to the electronic addresses and mailing address indicated in the NETL-identified Distribution List provided in the post award debriefing.							
<b>4. PLANNING AND REPORTING REQUIREMENTS</b>							
	<b>FORM NO.</b>	<b>FREQ.</b>	<b>NO. OF COPIES</b>		<b>FORM NO.</b>	<b>FREQ.</b>	<b>NO. OF COPIES</b>
<b>A. GENERAL MANAGEMENT</b>				<b>E. TECHNICAL (One paper copy and One pdf electronic file copy)</b>			
* <input type="checkbox"/> Management Plan	None			<input type="checkbox"/> Technical Progress Report	None		
<input checked="" type="checkbox"/> Status Report	None	M	**	<input type="checkbox"/> Final Report	None		
<input checked="" type="checkbox"/> Summary Report	1332.2	M	**	<input type="checkbox"/> Draft for Review	None		
<input checked="" type="checkbox"/> Performance Self Assessment Report	None	E	**	<input type="checkbox"/> Final for Approval	None		
<b>B. SCHEDULE/LABOR/COST</b>				<input type="checkbox"/> Topical Report			
* <input type="checkbox"/> Milestone Schedule/Plan	1332.3			<b>F. PROPERTY</b>			
* <input type="checkbox"/> Labor Plan	1332.4			<input checked="" type="checkbox"/> Report of Contractor's Property Management System	None	P	**
* <input type="checkbox"/> Cost Plan	1332.7			<input checked="" type="checkbox"/> Annual Report of Property in The Custody of Contractor	F580.1-8	YP	**
<input type="checkbox"/> Milestone Schedule/Status Report	1332.3			<input checked="" type="checkbox"/> High Risk Property Report	F580.1-25	YP	**
<input type="checkbox"/> Labor Management Report	1332.8			<input checked="" type="checkbox"/> Report of Physical Inventory of Capital Equipment	None	I	**
<input checked="" type="checkbox"/> Cost Management Report	See Text	M	**	<input checked="" type="checkbox"/> Report of Physical Inventory of Sensitive Items	None	YP	**
<b>C. EXCEPTION</b>				<input checked="" type="checkbox"/> Report of Termination or or Completion Inventory	SF-1428; SF-120; F580.1-7	FC	**
<input type="checkbox"/> Conference Record	None			<b>G. OTHER</b>			
<input checked="" type="checkbox"/> Hot Line Report	None	A	**	<input type="checkbox"/> Key Personnel Staffing Report	None		
<input type="checkbox"/> Journal Articles/Conference Papers and Proceedings	None			<input type="checkbox"/> Subcontracting Report	SF-294		
<b>D. ENVIRONMENTAL ES&amp;H</b>				<input type="checkbox"/> Summary Subcontracting Report	SF-295		
<input checked="" type="checkbox"/> Hazardous Substance Plan	None	O	**	<input type="checkbox"/> Software	None		
<input checked="" type="checkbox"/> Hazardous Waste Report	None	FC	**	<input checked="" type="checkbox"/> Staffing Report Summary	See Text	M	**
<input checked="" type="checkbox"/> ES&H Hot Line Report	None	A	**	<input checked="" type="checkbox"/> Invoice Detail Report	See Text	M	**
<input checked="" type="checkbox"/> DOE NETL ES&H Reports (DOE O 231.1, M 231.1-1, O 232.1)	See Orders & Manuals	A	**				
<input checked="" type="checkbox"/> Integrated Safety Management Plan (DOE 450.4)	See DOE Order	O***	**				
<b>5. Frequency Codes and Due Dates:</b>							
Definition		Calendar days due after event		Definition		Calendar days due after event	
A – As Required (See attached text for applicability)		0		O – Once After Award		30	
C – Contract Change		15		Q – Quarterly (End of Calendar Quarter)		30	
FC – Final End of Effort		0		S – Semi-Annual (End of project year and project year half)		20	
FD – Final Technical – Draft Version		-60		Y – Yearly (End of project year, see narrative for details)		30	
M – Monthly		15		PY – Yearly Plan for following Federal Fiscal Year			
E – End of Evaluation Period		20					
<b>Property Reports</b>				<b>Other</b>			
P – Property Management System – Within 6 months of award date				SS – Subcontracting Report – Semi-Annual due 4/30 and 10/30 for period Ending 3/31 and 9/30 respectively			
YP – Yearly Property – due 10/15 for period ending 9/30				YS – Summary Subcontracting – Annually due 10/30 for period ending 9/30			
I – Physical Inventory of Capital Equipment – Biennial from award start date							
* The yearly plans, identified as required in Sections 4A and 4B, are due by September 15 for the following Federal Fiscal Year.							
** Reports are to be distributed electronically, along with two (2) hard copies, to the NETL-identified distribution list. Report formats that are indicated shall not be deviated from. If the submission involves a DOE Standard Form, the Contractor may submit the requested information in a format of its own choosing, as long, as the same information is provided. The reports in this checklist apply to the contract in general. The Statement of Work for Tasks and Subtasks may require other specific reports and/or deliverables.							
*** Plan is to be updated annually.							
<b>6. SPECIAL INSTRUCTIONS:</b>							
The forms identified, with a forms number, in the checklist are available at <a href="http://www.netl.doe.gov/business/forms/forms.html">http://www.netl.doe.gov/business/forms/forms.html</a> .							

**GENERAL INSTRUCTIONS FOR THE PREPARATION AND SUBMISSION OF REPORTS (MAR 1999)**

The Contractor shall prepare and submit the plans and reports indicated on the "Reporting Requirements Checklist" to the electronic addresses and mailing addresses provided in the NETL-identified Distribution List. The Distribution List will be provided at the post award debriefing with the Contractor. The level of detail the Contractor provides in the plans and reports shall be commensurate with the scope and complexity of the effort and shall be as delineated in the guidelines and instructions contained herein. The prime Contractor shall be responsible for acquiring data from any subcontractors to ensure that data submitted are compatible with the data elements which prime Contractors are required to submit to DOE.

**STATUS REPORT**

The Status Report presents the Contractor's narrative technical assessment of the work actually performed and the overall status of the various tasks and subtasks. Open items requiring action by either the Contractor or DOE are noted in this report. The report also provides a summary assessment of the current situation, including forecast for the near future and the expected impact on task and/or subtask accomplishment. The report is to include a listing of the major products for each task and subtask in bullet form and, if applicable, a list of pertinent presentations and publications.

**SUMMARY REPORT DOE F 1332.2**

The Summary Report provides a concise, top-level synopsis of schedule, labor, and cost performance. Most data are presented graphically. The format permits rapid visual comparison of schedule, labor, and cost data. Three components are presented: a cost status graph, a labor status graph, and a milestone chart. The cost and labor graphs are presented on a cumulative basis. Planned and actual numerical data are presented for the specified period. Labor and cost variances are shown on a monthly and cumulative.

**SEMI-ANNUAL PERFORMANCE SELF-ASSESSMENT REPORT**

For all contract tasks and subtasks involved in an award-fee determination, the Contractor is to provide a self-assessment of work performed during the previous quarters. This report is to include a comprehensive summary of the activities implemented and a self-assessment of performance based quality, schedule, and management performance criteria.

**COST MANAGEMENT REPORT (AUG 2003)****PURPOSE**

The Cost Management Report provides a monthly status of actual and estimated costs, funding and plan values, as well as a projection of the funds expiration, for each task within a designated contract. This report serves as an accounting and project management tool. This report will be used by Federal personnel to monitor the funding and cost status of the contract, verify the reasonableness of the Contractor's invoices, formulate budgets and calculate award fee pools.

**FORM**

An Adobe (.pdf) file has been included as Attachment E. This is the required format that must be utilized for submission of this report. An Excel version of the file has been posted to the electronic reading room for this solicitation under 2.0 Referenced Documents in SOW. This file may be downloaded from the following Internet site, during the solicitation phase of this procurement: <http://www.netl.doe.gov/business/solicit/ssc2003/index.html>.

**INSTRUCTIONS**

Item 1. Enter the official contract title.

- Item 2. Enter the inclusive start and completion dates for the reporting period.
- Item 3. Enter the official contract number and, if a modification(s) has occurred, append the latest modification number.
- Item 4. Enter the name and address of the Contractor.
- Item 5. Enter the date of the contract's current cost plan, which serves as a baseline for this report.
- Item 6. Enter the official start date of the original contract.
- Item 7. Enter the official completion date as of the latest modification to the contract.
- Item 8. Enter the task numbers, in numerical order, consistent with the contract's Work Breakdown Structure. Modifications to the task will be tracked by an alpha added to the end of the task with "A" designating the first modification.
- Item 9. Enter the budgeting and reporting (B&R) number(s) that is (are) to fund the task. If more than one B&R number is being used, place the pertinent funding information on separate lines.
- Item 10. Enter the cost code which is made up of a financial plan designation and a NETL cost center. The financial plan code is the first two alphas. The following 5 character alpha numeric is the NETL cost center. If more than one cost code is being used, place the pertinent funding information on separate lines.
- Item 11. Enter the program/order number that designates NETL customer work. If more than one number is being used, place the pertinent funding information on separate lines.
- Item 12. Enter the amount of funds that have been obligated against the task in the current fiscal year.
- Item 13. Enter the total obligations awarded to the contract as of the close of the reporting period.
- Item 14. Enter the Approved FY Cost Plans, an estimate of the cost of work planned in the current fiscal year distributed by funding source. Only plan values authorized by the CO shall be recorded in this column.
- Item 15. Enter the total authorized plan value for the entire performance period of the task, which may span multiple fiscal years.
- Item 16. Enter the total actual cost incurred for the reporting period.
- Item 17. Enter the total planned cost for the reporting period as shown in the most recent authorized task work plan.
- Item 18. Enter the total actual cost incurred as of the close of the reporting period for the current fiscal year.
- Item 19. Enter the balance remaining of the planned cost for the current fiscal year as shown in the latest "Approved FY Cost Plan" (item 14).
- Item 20. Enter total actual cost incurred for the task from the inception of the contract to the end of the reporting period.
- Item 21. Enter the total authorized planned cost for the task from the inception of the contract to the date of the report.
- Item 22. Enter the "Next Period Commitments" defined as the cost to be invoiced to NETL during the next period and amounts incurred by the end of the reporting period but not yet invoiced. This would include subcontractor costs and award fee.

Item 23. Enter the "FY Total Cost" which is defined as the costs that the Contractor expects to incur during the current fiscal year. This will equate to the, "FY To Date Actuals" plus the balance of the year. A contract project manager's estimate may be used to project the balance of the year and should include those costs which have been incurred but not invoiced to NETL.

Upon completion of the first award fee period estimates for fee shall be based on the average of historic fee earned, not 100% of available fee.

Special consideration should be made to estimate subcontract costs when the prime has not received invoices but is aware that work has occurred.

Item 24. Enter the date on which the funds available to the Contractor for a specific task or activity are expected to be fully costed.

Item 25. Enter notes that relate to tasks financial status. Modifications received after the closing date of the reporting period but before the due date of the CMR should be included.

Item 26. Enter the subtotal of all tasks identified as Fossil Energy (FE) work.

Item 27. Enter the subtotal of all tasks identified as Non FE work.

Item 28. Enter the total of all costs for each column that can be summed. If multiple pages are used, enter the total only on the final page.

Item 29. Enter the unit measure for dollar amounts shown (e.g., exact dollars). NETL cost entries are done to the penny. Carry the unit of measure out to decimals (e.g., cents) but format the cell to round so space will be saved. NETL Finance will reformat the appropriate column to two decimals for the purpose of making cost entries.

Item 30. Enter the signature of the responsible Contractor project manager and the date signed, verifying the validity of the furnished information based upon the project manager's knowledge of the contract's current progress and status.

Item 31. Enter the signature of the Contractor's financial representative and the date signed, verifying the validity of the furnished information based upon the financial representative's knowledge of the contract's current progress and status.

\* Any reference to a fiscal year refers to the Federal Government fiscal year, October 1 through September 30 of the following year.

### **HOT LINE REPORT (MAR 2002)**

The "Hot Line" Report may be used to report a major breakthrough in research, development, or design; an event causing a significant schedule slippage or cost overrun; an environmental, safety and health violation; achievement of or failure to achieve an important technical objective; or any requirement for quickly documented direction or redirection. The report shall be submitted by the most rapid means available, usually electronic, and should confirm telephone conversations with DOE representatives. Identification as a "Hot Line Report" serves notice at each link in the delivery chain that expedition in handling is required. Unless otherwise agreed by the parties involved, DOE is expected to take action and respond in a similarly timely manner. The report should include:

1. Contractor's name and address;
2. Contract title and number;
3. Date;
4. Brief statement of problem or event;
5. Anticipated impacts; and
6. Corrective action taken or recommended.

Hot line reports shall document the incidents listed below:

1. Any single fatality or injuries requiring hospitalization of five or more individuals is to be immediately reported.
2. Any significant environmental permit violation is to be reported as soon as possible, but within 24 hours of the discovery of the incident.
3. Other incidents that have the potential for high visibility in the media are to be reported as quickly as possible, but within 24 hours following discovery.
4. Any failure resulting in damage to Government-owned equipment in excess of \$50,000 is to be reported as quickly as possible, but within 24 hours of the discovery of the failure.
5. Any unplanned event which is anticipated to cause a schedule slippage or cost increase significant to the project is to be reported within 24 hours.
6. Any verbal or written Notice of Violation of any Environmental, Safety, and Health statutes arising from the performance of this contract is to be immediately reported.
7. Any accidental spill or release which is in violation of any Environmental, Safety, and Health statutes arising from the performance of this contract is to be immediately reported, but within 24 hours of the discovery of the accident.
8. Any incident which causes a significant process or hazard control system failure, or is indicative of one which may lead to any of the above defined incidents, is to be reported as soon as possible, but within 5 days of discovery.

The requirement to submit Hot Line Reports for the incidents identified in 1, 2, 3, 6, or 7 is for the sole purpose of enabling DOE officials to respond to questions relating to such events from the media and other public.

When an incident is reported in accordance with 4, 5, 6, 7, or 8, the Contractor shall conduct an investigation of its cause and make an assessment of the adequacy of resultant action. A written report is required no later than ten (10) calendar days following the incident and shall include an analysis of the pertinent facts regarding the cause, and a schedule of the remedial events and time periods necessary to correct the action.

When an event results in the need to issue a written or verbal statement to the local media, the statement is to be cleared first, if possible, and coordinated with NETL's Office of Public Affairs, the Contracting Officer Representative (COR) and the Contracting Officer.

#### **HAZARDOUS SUBSTANCE PLAN (MAY 1999)**

The Contractor shall submit a Hazardous Substance Plan not later than thirty (30) days after initial contract award. The Plan shall specifically identify each Hazardous Substance (as defined under 40 CFR 261, Subpart D, entitled "Lists of Hazardous Wastes") anticipated to be purchased, utilized or generated in the performance of this contract. For each such Hazardous Substance identified, the Plan shall specifically provide the following information:

Description of Substance/Chemical  
EPA Hazardous Waste Number  
EPA Hazard Code  
Anticipated Quantity to be purchased, utilized or generated  
Anticipated Hazardous Waste Transporter  
Anticipated Hazardous Waste Disposal Facility Contractor and Location (City/Municipality, State)  
Anticipated Treatment Method



**HAZARDOUS WASTE REPORT (MAY 1999)**

The Contractor shall submit a Hazardous Waste Report at the completion of contract performance. The Report shall specifically identify each Hazardous Waste (as defined under 40 CFR 261, Subpart D, entitled "Lists of Hazardous Wastes") actually utilized, or generated in the performance of this contract. For each such Hazardous Waste identified, the Report shall specifically provide the following information:

Description of Substance/Chemical  
EPA Hazardous Waste Number  
EPA Hazard Code  
Actual Quantity Disposed  
Actual Hazardous Waste Transporter  
Actual Hazardous Waste Disposal Facility Contractor and Location (City/Municipality, State)  
Actual Disposal Date  
Actual Treatment Method

The Hazardous Waste Report is intended as a final reconciliation of anticipated versus actual Hazardous Substances purchased, utilized, or generated in the performance of this contract.

**ES&H HOT LINE REPORT**

A. The "ES&H Hot Line Report" is to be used to report an ES&H violation. The report must be submitted by the most rapid means available, usually electronic, and is to confirm telephone conversations with the DOE Representatives. Identification as an "ES&H Hot Line Report" serves notice at each link in the delivery chain that "speed in handling" is required. The report must include:

1. Contractor's name and address
2. Contract title and number
3. Date
4. Brief statement of problem or event
5. Anticipated impacts
6. Corrective action taken or recommended

B. ES&H Hot Line Reports are to be used to document incidents such as those listed below:

1. Any non-compliance with the provisions of Clause H27 ENVIRONMENTAL, SAFETY, AND HEALTH-ON-SITE SERVICE CONTRACTS is to be reported within 3 days unless specified otherwise below.
2. Any single fatality or injuries requiring hospitalization of five or more individuals is to be immediately reported.
3. Any significant environmental permit violation is to be reported as soon as possible, but no later than 24 hours following the discovery of the incident.
4. Other ES&H incidents that have the potential for visibility in the media are to be reported as quickly as possible, but no later than 24 hours following the discovery of the incident.
5. Any failure resulting in damage to Government-owned equipment in excess of \$50,000 is to be reported as quickly as possible, but no later than 24 hours following the discovery of the failure.
6. Any verbal or written Notice of Violation of any ES&H statutes arising from the performance of this contract is to be immediately reported.
7. Any accidental spill or release that is in violation of any ES&H statutes arising from the performance

of this contract is to be immediately reported.

8. Any incident that causes a significant process- or hazard-control-system failure, or is indicative of one that may lead to any of the above-defined incidents, is to be reported as soon as possible, and must be reported within 5 days of discovery.
9. When an event results in the need to issue a written or verbal statement to the local media, the statement is to be cleared first, if possible, by NETL's Public Relations Officer and coordinated with the COR.

**DOE/NETL ES&H REPORTS (DOE O 231.1, M 231.1-1, O 232.1)**

- A. The Contractor shall provide information and reports to NETL in support of DOE's reporting requirements contained in DOE O 231.1, ENVIRONMENTAL, SAFETY, AND HEALTH REPORTING, DOE M 231.1-1, ENVIRONMENTAL, SAFETY, AND HEALTH REPORTING MANUAL, and DOE O 231.1, OCCURRENCE REPORTING AND PROCESSING OF OPERATIONS INFORMATION. Content, form, schedule, and applications are provided in the DOE Orders.
- B. Data, information, or reports include, but are not limited to, the following areas (if applicable):
  1. Work-related fatalities, injuries, and illnesses among Contractor employees arising out of work performed primarily at DOE-owned or -leased facilities
  2. Work-hours and vehicle usage
  3. Estimated property valuation
  4. Interim exposure data reporting
  5. Annual exposure data reporting
  6. Radiological exposure to individuals
  7. Annual summary of fire damage
  8. Epidemiologic analyses-excess injuries and illnesses
  9. Occupational, safety, and health information in support of epidemiological studies conducted by external organizations
  10. Quarterly DOE and NETL ES&H performance indicator data
  11. Annual site environmental reports
  12. Annual tabulation of ES&H and quality-related assessments conducted.
- C. As needed, information reports associated with the notification, recording and reporting requirements for accidents and/or incidents shall be prepared in accordance with 29 CFR 1904 and 1910. The Contracting Officer or his/her representative shall be provided with copies of all OSHA-required documentation within 10 days of the associated accident and/or incident.
- D. On a quarterly basis, the Contractor shall report on the following NETL environment, safety, and health indicators (if applicable):
  1. Recordable Injury/Illness Rate (total number of OSHA-defined recordable injuries and illnesses/total hours worked).

2. Lost Workday Case Rate (total number of OSHA-defined lost workday cases/total hours worked)
3. OSHA Cost Index (estimated cost of workplace-related injuries and illnesses)
4. Hazardous Waste Generated (total cubic feed of hazardous waste shipped)
5. Metrics and reporting information cited in the Contractor Integrated Safety Management (ISM) Plan

### **INTEGRATED SAFETY MANAGEMENT PLAN**

An Integrated Safety Management (ISM) Implementation Plan shall be developed and submitted by the Contractor. The plan shall describe how the offeror will implement ISM philosophy, as outlined in DOE P 450.4, Safety Management Policy, and Integrated Safety Management System Guide, DOE G 450.4-1, Volumes 1 and 2, into the planning, budgeting, executive, and assessment of work activities. The plan shall provide (1) a process approach to the integration of ISM's five steps (i.e., defining the scope of work, analyzing the hazards, developing and implementing controls, performing work safely, and ensuring performance) into its everyday work activities; (2) a specific management approach to demonstrate ISM's seven guiding principles (i.e., workforce responsibility and accountability; clear roles, responsibilities and authorities; competence commensurate with responsibilities; balance priorities; identification of ES&H standards and requirements; hazard controls tailored to work being performed; and work authorization); and (3) a discussion on how the execution of the offeror's plan will successfully and cost-effectively integrate with NETL's own ISM and ES&H programs for on-site work to be conducted. An annual update is also required.

### **PROPERTY REPORTS (JAN 2000)**

The NETL Property Handbook entitled "Management of Government Property in the Possession of Contractors," contains forms, instructions, and suggested formats for submission of property reports. This handbook can be found at <http://www.netl.doe.gov/business/index.html>.

### **REPORT OF CONTRACTOR'S PROPERTY MANAGEMENT SYSTEM (JAN 2000)**

This report shall consist of the Contractor's comprehensive written property management system and is due within 6 months of the contract award date. It shall address the Contractor's written system for controlling, protecting, preserving and maintaining all Government property. The report format shall be consistent with Contractor's system and shall as a minimum enable comprehensive evaluation by the Government. (If not provided in your local format, see sample in the NETL Property Handbook).

### **ANNUAL REPORT OF PROPERTY IN THE CUSTODY OF CONTRACTORS (NETL F 580.1-8) (JAN 2000)**

This report includes **ALL** Government-owned Contractor-acquired and Government-furnished property and materials for which the Contractor is accountable to the Government. This report shall also include Government Property at subcontractor's plants and alternate locations. This report is submitted on NETL F 580.1-8 for the period ending September 30 and is due by October 15.

### **HIGH RISK PROPERTY REPORT (NETL F 580.1-25) (SEPT 2000)**

Some property, because of its peculiar nature, its potential impact on public health and safety, on the environment, on security interests, or on proliferation concerns, must be handled, controlled, cleared and disposed of in other than the standard manner. High-risk property includes property which is: 1) nuclear-related; 2) proliferation-sensitive or export controlled; 3) chemically, biologically, or radiologically contaminated; 4) national security/military interests; and 5) hazardous materials and wastes. Further definitions of high-risk property can be found at <http://www.pr.doe.gov/ppl.html>. This report is required by the DOE for the control (acquisition, management and disposal) of high risk property to ensure that such disposition does not adversely affect public safety and/or the environment, national security, or nuclear nonproliferation objectives of the United States. This report shall be

submitted for the period ending September 30 and is due by October 15 of each year.

#### **REPORT OF PHYSICAL INVENTORY OF CAPITAL EQUIPMENT (JAN 2000)**

Capital equipment is any piece of personal property, equipment, or furniture with a useful service life of 2 years or more and is acquired at a unit cost of \$25,000 or more. The suggested format for this report can be found in the NETL Property Handbook at <http://www.netl.doe.gov/business/index.html> . This report is due 2 years from award date and every 2 years thereafter.

#### **REPORT OF PHYSICAL INVENTORY OF SENSITIVE ITEMS (OCT 2002)**

Sensitive items are identified as small calculators, tape recorders, radios, photographic and projection equipment, typewriters and other office machines, firearms, survey instruments, binoculars, power tools, personal computers, printers, external modems, or other equipment, which because of its general use characteristics and ease of transport are particularly susceptible to misappropriation or theft. These items will usually have an acquisition cost of less than \$25,000. The suggested format for this report can be found in the NETL Property Handbook at <http://www.netl.doe.gov/business/index.html> . This report shall be submitted for the period ending September 30 and is due by October 15 of each year.

#### **REPORT OF TERMINATION OR COMPLETION INVENTORY (SF-1428 AND SF-120) (MAR 1999)**

This report submitted on the SF-1428 and SF-120 is due immediately upon completion or termination of the contract. The Contractor is required to perform and cause each subcontractor to perform a physical inventory, adequate for disposal purposes, of all Government property applicable to the contract.

#### **STAFFING REPORT SUMMARY INSTRUCTIONS (AUG 2003)**

##### **PURPOSE**

The Staffing Report Summary is to provide NETL management with data relative to the number of Contractor FTEs (full time equivalents) charged to each funding source within a contract.

NETL uses this information in budgeting and planning exercises. Also many information requests are received from Headquarters dealing with the location of Contractor employees. This report may be set-up so that the detail from the Invoice/Staffing Report will be automatically entered requiring little manual input.

##### **FORM**

An Adobe (.pdf) file has been included as Attachment E. This is the required format that must be utilized for submission of this report. An Excel version of the file has been posted to the electronic reading room for this solicitation under 2.0 Referenced Documents in SOW. This file may be downloaded from the following Internet site, during the solicitation phase of this procurement: <http://www.netl.doe.gov/business/solicit/ssc2003/index.html> .

##### **INSTRUCTIONS**

- Item 1. Enter participant's name and address.
- Item 2. Enter the contract number.
- Item 3. Enter the name of and address of the organization for whom the services have been provided and is responsible for the payment of the invoice, as designated section G of the subject contract.
- Item 4. Enter the inclusive start and completion dates for the reporting period.
- Item 5. Enter acronym of the contract title.

- Item 6. FTEs charged to B&Rs key to the NETL Intuitional Budget will be tracked separately. These B&R numbers will be predetermined on the format given to the Contractor. If changes occur the Contractor will be notified by E-mail with a new format. Enter the number of FTEs charged against the designated B&R.
- Item 7. Enter FTEs charged to other intuitional B&Rs which are not key to the budget. A footnote at the bottom of the form will designate the B&Rs within this category.
- Item 8. Enter the collective total of all FTEs charged to the remaining B&R s which are not reported in the Institutional Budget.
- Item 9. Enter the total number of FTEs for each row.
- Item 10. Enter the FTE labor by site. Offsite – any location not on one of the NETL sites as defined in “onsite” below.

Onsite – Federally-owned or leased property within the defined boundaries of the sites at Pittsburgh, PA; Morgantown, WV; Tulsa, OK; and Fairbanks, AL, including, in the case of Morgantown, the Research Ridge complex immediately adjacent to the boundary.

- Item 11. Enter the total number of FTEs for each column.
- Item 12. Enter the headcount of employees working at on and offsite locations as defined in item 6 above.

### **INVOICE DETAIL REPORT INSTRUCTIONS (AUG 2003)**

#### **PURPOSE**

The Invoice Detail Report is to serve as the detail for the “Public Voucher for Purchases and Services Other Than Personal” (SF 1034) as referenced in section G of the contract. Each Task shall have a separate spreadsheet. Task managers will review the data as part of the invoice approval process. Also this invoice detail report will serve as the base for the staffing report referenced in section J attachment B “Reporting Requirements Checklist”. The detail provides a monthly status of actual and planned FTE hours worked for each task and headcount within a designated contract. This report will be used by Federal personnel as an information source and as a project management tool.

#### **FORM**

An Adobe (.pdf) file has been included as Attachment E. This is the required format that must be utilized for submission of this report. An Excel version of the file has been posted to the electronic reading room for this solicitation under 2.0 Referenced Documents in SOW. This file may be downloaded from the following Internet site, during the solicitation phase of this procurement: <http://www.netl.doe.gov/business/solicit/ssc2003/index.html> .

#### **INSTRUCTIONS**

- Item 1. Enter participant’s name and address
- Item 2. Enter the contract number
- Item 3. Enter the name of and address of the organization for which the services have been provided and is responsible for the payment of the invoice, as designated section G of the subject contract.
- Item 4. Enter a sequential invoice number as designated by the participant.
- Item 5. Enter the date the invoice was issued.
- Item 6. Enter the inclusive start and completion dates for the invoice period.

Item 7. Enter the employee's name

Item 8. Enter the labor category title and Exempt (E) or Nonexempt (NE)

Item 9. Enter the employee status [full time (FT), part time (PT)]

Item 10. Enter the employer name (prime Contractor, subcontractor)

Item 11. Enter the employee's current labor rate.

Item 12. Enter the actual hours worked in the reporting period by the employee. The available hours may vary by month depending on weekends, holidays, number of days in month, etc.

Item 13. Enter the total labor per employee for the period.

Item 14. Enter full time equivalent (FTE) actual time worked.

Item 15. Enter the FTE labor by site. Offsite – any location not on one of the NETL sites as defined in “onsite” below.

Onsite – Federally-owned or leased property within the defined boundaries of the sites at Pittsburgh, PA; Morgantown, WV; Tulsa, OK; and Fairbanks, AL, including, in the case of Morgantown, the Research Ridge complex immediately adjacent to the boundary.

Item 16. Enter the cumulative hours worked to date per employee for the given task.

Item 17. Enter the previous months costs (can be done by copying the values from “Cumulative Current Cost, column N on the spreadsheet). This column will be used to calculate the cumulative current cost column and can be hidden in subsequent invoices.

Item 18. The cumulative current cost is the total of cost from previous periods plus the cost for the current period.

Item 19. Enter the task number and title.

Item 20. Enter the total items of 12 through 18 described above.

Item 21. Enter the planned/actual labor hours for the current period

Item 22. Enter the planned/actual labor hours for the cumulative period

Item 23. Other direct costs (ODCs) include those cost other than labor which are directly related and charged to the task.

Item 24. Enter a very brief description of the other direct costs.

Item 25. Enter material costs for the period and cumulative to date

Item 26. Enter the travel costs for the period and cumulative to date

Item 27. Enter the training cost for the period and cumulative to date.

Item 28. Enter fee awarded to the task.

Item 29. Enter total of all ODCs costs and fee.

Item 30. Enter the total cost and fee for labor and ODCs.

Item 31. Enter the labors costs that were charged to each B&R funded to the task. Enter the total FTEs by budgeting and reporting (B&R) numbers at each site. This information is derived in combination with the Cost Management Report (CMR) by using the “total actual cost incurred for the reporting period” – Item 16 on the CMR - and prorating the costs according to the B&Rs and funding office (cost center) within each task and applying to the corresponding task, by site location, on the Staffing Report. Example: Task 60123 on the CMR is funded with AN2006000 and AW0301000 B&Rs from MD and MA (cost centers)- When prorated, the task consists of 82% AN2006000 and 18% AW0301000 costs. The percentages would then be applied to Task 60123 FTEs on the Staffing Report.

**J.4 ATTACHMENT C – PERFORMANCE EVALUATION PLAN (PEP)****AWARD FEE PERFORMANCE EVALUATION PLAN (PEP)****Part I INTRODUCTION**

A. This plan covers the administration for the award fee provisions of Contract No. DE-AM26-03NT41820 ITES for the National Energy Technology Laboratory and provides necessary standardization to ensure effective development, administration, and coordination of the evaluation process. It is intended as a means to:

1. Document how performance during a specific award fee period will be evaluated and fee determined.
2. Assure that the Contractor's performance is objectively evaluated in a fair and consistent manner.
3. Afford the Contractor an opportunity to earn fee commensurate with performance expended against performance expectations and standards.

B. The following matters, among others, are covered in the contract:

1. The Contractor is required to provide services as identified in the Statement of Work located in Section J, Attachment A of the contract.
2. Cost-Plus-Award-Fee (CPAF) task orders will be employed to provide an incentive and to encourage and reward the Contractor for increasing efficiency in the performance of the contract.
3. The term of the contract shall not exceed 60 months from its effective date including all option years.
4. The estimated cost of performing this contract, including all option years, is described in Section B of the contract.
5. The award fee pool is detailed in Section B of the contract.
6. The estimated cost and award fee pool are subject to equitable adjustments as a result of changes in the scope of the contract and in accordance with the Special Contract Requirements in Section H of the contract.
7. The award fee earned and payable will be determined unilaterally by the Fee Determination Official (FDO) in accordance with the terms of this contract.
8. The Government may unilaterally make changes to this plan, providing the Contractor receives notice of the change at least 15 calendar days prior to the beginning of the evaluation period to which the changes apply.
9. Fee evaluation periods will be in accordance with contract clause, B8 entitled "Distribution of Performance Award Fee."

**Part II. ORGANIZATIONAL STRUCTURE FOR AWARD FEE ADMINISTRATION**

A. The following organizational structure is established for administering the award fee provisions of the contract. Note that this structure is subject to change at the discretion of the Government.

1. Fee Determination Official (FDO)
  - a. The FDO is the Director of the National Energy Technology Laboratory (NETL) and Head of the Contracting Activity.
  - b. Primary responsibilities of the FDO include:
    - i. Determining the Contractor's evaluated award fee for each evaluation period. The FDO will determine the amount of the award fee earned during each period. The amount determined will not result solely from mathematical summing, averaging, or the application of a formula. The FDO's determination of the amount of the award fee earned and the basis for this determination will be stated in the Award Fee Determination letter to the Contracting Officer.
    - ii. Authorizing changes to this plan.



2. Performance Evaluation Board (PEB)
  - a. Chairperson and Membership
    - i. Chairperson will be the Division Director of the Information Technology Division (ITD). Membership of the PEB will consist of the Contracting Officer and the Contracting Officer's Representative. The Government may change the chairperson and membership without advance notice to the Contractor.
  - b. Performance Raters (PR)
    - i. Performance Raters will be the Task/Subtask Managers assigned to the individual task orders/subtasks issued. Performance Raters will be responsible for evaluation and assessment of the Contractor's activities during the rating period and documenting results at the end of the award period. The Performance Raters will be responsible for gathering information and objective evidence in order to evaluate the management effectiveness of the Contractor. The Performance Raters will coordinate with the necessary personnel to develop the performance score and supporting documentation. The Performance Raters will recommend a score of overall effectiveness to the PEB for approval. The Performance Rater will discuss and review progress with the Contractor throughout the evaluation period. The Government may change the performance raters without advance notice to the Contractor.

### **Part III. EVALUATION OF THE CONTRACTOR'S PERFORMANCE**

#### **A. Rating Plan**

1. The Contractor's performance shall be evaluated and rated according to this Performance Evaluation Plan (PEP). The Performance Areas, Evaluation Criteria, Scoring and Award Fee Conversion Document are attached as indicated below.
  - a. Exhibit E-1, Performance Areas
  - b. Exhibit E-2, Award Fee Conversion Document
  - c. Exhibit E-3, Performance Standards and Measures
2. Exhibit E-2 is a basis for translating performance points to an award fee for arriving at a recommendation for the FDO's consideration regarding the amount of award fee earned. In no way do they impute arithmetical precision or a requirement that the FDO accept this recommendation as a determination of the amount of award fee warranted for the Contractor's performance during a rating period.

#### **B. Award Fee Determination Process**

1. Presented below are process steps that will be followed to evaluate and determine the award fee due to the Contractor, based on performance:
  - a. Within twenty (20) calendar days after the end of each evaluation period, the Contractor shall submit a self-evaluation of performance for the period under consideration. The self-evaluation should discuss major accomplishments or progress and discuss the Contractor's assessment of their weaknesses and areas requiring improvement.
  - b. No later than thirty-five (35) days after the end of the evaluation period, the Chairperson of the PEB will present the draft Award Fee Determination Report containing evaluation findings to the Contractor.
  - c. The Contractor will be given an opportunity to submit comments on the draft Award Fee Determination Report to the PEB within (5) calendar days after receipt of the draft.
  - d. The final Award Fee Determination Report, inclusive of Contractor comments, will be provided to the FDO within ten (10) calendar days after the receipt of the Contractor's comments.
  - e. Ten (10) calendar days after receipt of the final Award Fee Determination Report, the FDO will unilaterally determine the Contractor's fee.

- f. The FDO notifies the Contractor, the PEB Chairperson, and the Contracting Officer of the fee determination in writing.
- g. The Contractor prepares a separate (i.e. apart from regular monthly invoice) voucher(s) based on the FDO's fee notice and submits this invoice to the Government for payment of its award fee.
- h. The Government processes the Contractor's invoice(s) and the fee is paid.

**EXHIBIT E-1****PERFORMANCE AREAS**

The performance areas to be evaluated are identified below. The evaluation criteria for each area are included in Exhibit E-3.

**PERFORMANCE AREA**

- 4.2 Oversight and Logistics
  - 4.3.1 Cyber Security
  - 4.3.2 Computer Facility Operations (Client Server) Support
  - 4.3.3 Desktop (End User) Support
  - 4.3.4 Telecommunications Services
  - 4.3.5 Networks (Data Services)
  - 4.3.6 Client Systems Engineering
- 4.4.1 Enterprise Architecture Support
- 4.4.2 Enterprise Systems Development and Maintenance
- 4.5 Information Technology Variable Engineering Task
- 4.6 Management and ES&H

Performance areas 4.2 through 4.5 are Major Functional Elements and are weighted as 90% of Maximum Available Fee for the evaluation period. Performance area 4.6, Management and ES&H is weighted as 10% of the Maximum Available Fee for the evaluation period.

The determination of the award fee for any period is contingent upon the Contractor maintaining acceptable levels of ongoing performance in all areas under the contract, whether specified as award fee areas or not. Specifically, areas identified as Necessary Conditions shall be maintained at an acceptable level of ongoing performance. Should any of these areas fall below an acceptable level of ongoing performance during any rating period, fee earned from performance areas may be reduced. This is designed to reinforce the importance of overall contract performance.

**EXHIBIT E-2****AWARD FEE CONVERSION DOCUMENT**

The Performance Evaluation Board will use the method documented below to calculate the proposed award fee. The proposed award fee, including calculations and supporting text, will be placed in an Award Fee Determination Report and forwarded to the Fee Determination Official for their consideration.

**I. Major Functional Element Rating****A. Importance of Standards**

The objective of this award fee method is to raise the importance of performance under each standard within each Performance Area. The method has been designed to enable each standard to significantly affect the award fee.

The level of expected performance for each standard is Satisfactory.  
There is a significant benefit for receiving a rating higher than Satisfactory.  
There is a significant penalty for receiving a rating less than Satisfactory.

The rating will be conducted on a five point rating scale as follows:

Excellent = +2 points  
Very Good = +1 point  
Satisfactory = 0 points  
Marginal = -1 point  
Poor = -2 points

A positive point rating (+2 or +1) for any standard is desired and considered difficult to achieve.

A negative point rating (-2 or -1) for any standard is not desired and highlights an area where performance improvement is required.

The baseline is 60% of available award fee. The receipt of a Satisfactory (0 points) rating for all standards will result in receipt of the baseline award fee.

**B. Fee Adjustment:**

An Excellent (+2 points) rating for any standard will result in a 10% positive fee adjustment. For example, one excellent rating and satisfactory ratings for all other standards would result in receipt of 70% of the available award fee (60% baseline plus 10% positive fee adjustment).

A Very Good (+1 point) rating for any standard will result in a 5% positive fee adjustment. For example, one very good rating and satisfactory ratings for all other standards would result in receipt of 65% of the available award fee (60% baseline plus 5% positive adjustment).

A Marginal (-1 point) rating for any standard will result in a 10% negative fee adjustment. For example, one marginal rating and satisfactory ratings for all other standards would result in receipt of 50% of the available award fee (60% baseline minus 10% fee adjustment).

A Poor (-2 points) rating for any standard will result in a 20% negative fee adjustment. For example, one poor rating and satisfactory ratings for all other standards would result in receipt of 40% of the available award fee (60% baseline minus 20% fee adjustment).

Total Award Fee can not be more than 100% or less than 0% of the available award fee.

### C. Unacceptable Performance Adjustment

If the Contractor receives three or more negative points during an evaluation period there will be no positive fee adjustment.

If the Contractor receives three negative points during an evaluation period the fee will be 60%.

If the Contractor receives four negative points during an evaluation period the fee will be 50%.

If the Contractor receives five negative points during an evaluation period the fee will be 30%.

If the Contractor receives six negative points during an evaluation period the fee will be 10%.

Seven or more negative points during an evaluation period will be considered a complete breakdown of performance and will result in 0% of award fee.

### D. Fee Calculation Examples

#### 1. Example 1

There are 36 standards in the PEP. The Contractor receives 2 Excellent ratings, 2 Very Good ratings, 31 Satisfactory ratings, 0 Marginal ratings, and 1 Poor rating.

The point assignments associated with the ratings above would be 2 @ +2, 2 @ +1, 15 @ 0, 0 @ -1, and 1 @ -2. The summary of points would be 6 positive points and 2 negative points.

The positive points would add 30% to the baseline award fee of 60% and the 2 negative points would subtract 20%. The end result would be an award fee (Major Functional Elements) of 70%.

<b>Rating Factor (Points)</b>	<b>No of Ratings</b>	<b>Adjustment Percentage</b>	<b>Points Total</b>	<b>Percentage Total</b>
<b>A</b>	<b>B</b>	<b>C</b>	<b>A *B</b>	<b>B * C</b>
Excellent (+2)	2	10%	+ 4	+ 20%
Very Good (+1)	2	5%	+ 2	+ 10%
Satisfactory (0)	31	N/A		
Marginal (-1)	0	-10%	0	- 0%
Poor (-2)	1	-20%	- 2	- 20%
Total Positive Points			+6	
Total Negative Points			- 2	
Fee Adjustment				+10%
Unacceptable Perf. Impact to Fee Adjustment (zeros out adjustment if three or more negative points)				- 0%
Baseline				60%
Unacceptable Perf. Impact to Baseline (graduated reduction with four or more negative points)				- 0%
Award Fee				70%

## 2. Example 2

There are 36 standards in the PEP. The Contractor receives scores of 3 Excellent ratings, 9 Good ratings, 19 Satisfactory ratings, 3 Marginal ratings, and 2 Poor ratings.

The point assignments associated with the ratings above would be 3 @ +2, 9 @ +1, 3 @ 0, 3 @ -1, and 2 @ -2. The summary of points awarded would be 15 positive points and 7 negative points.

Even though the positive points would result in a positive fee adjustment, the seven negative points would result an unacceptable performance adjustment being exercised, which would reduce the award fee (Major Functional Elements) to 0%.

Rating Factor (Points)	No of Ratings	Adjustment Percentage	Points Total	Percentage Total B * C
A	B	C	A * B	
Excellent (+2)	3	10%	+ 6	+ 30%
Very Good (+1)	9	5%	+ 9	+ 45%
Satisfactory (0)	19	N/A		
Marginal (-1)	3	-10%	- 3	- 30%
Poor (-2)	2	-20%	- 4	- 40%
Total Positive Points			+ 15	
Total Negative Points			- 7	
Fee Adjustment				+5%
Unacceptable Perf. Impact to Fee Adjustment (zeros out adjustment if three or more negative points)				- 5%
Baseline				60%
Unacceptable Perf. Impact to Baseline (graduated reduction with four or more negative points)				-60%
Award Fee				0%

## II. Performance Area 4.6 - Contract Management and ES&H

**For this factor only**, scores can be issued between performance scores (e.g., +.5 or +1.5) based on the breadth and depth of objective evidence provided. **For this factor only**, +2 equals 100% of available fee, +1 equals 80% of available fee, 0 equals 60% of available fee, -1 equals 30% of available fee and -2 equals 0% of available fee.

## III. Total Award Fee Calculations

Total Award Fee for an evaluation period is determined using the following example:

Maximum available award fee = \$200,000

Major Functional Areas available award fee (90% of Maximum) = \$180,000

Area 4.6 Contract Management and ES&H (10% of Maximum) = \$20,000

Score for Major Functional Areas results in 70% of available award fee:

\$180,000 x 70% = \$126,000 fee

Score for area 4.6 Contract Management and ES&H results in 80% of available award fee:

\$20,000 x 80% = \$16,000 fee

\$126,000 + \$16,000 = \$142,000 recommended fee earned for that evaluation period.

**EXHIBIT E-3****PERFORMANCE STANDARDS AND MEASURES**

<b>NO.</b>	<b>STANDARD</b>	<b>PERFORMANCE MEASURE</b>	<b>OVERALL GOAL OR REASON FOR MEASURE</b>	<b>TRACKING</b>
1A	<b>OVERSIGHT AND MANAGEMENT</b>			
1	Provide error free invoices, Budget Plans, and Cost Management Reports.	<b>Excellent:</b> No errors on documents submitted. <b>Good:</b> 1 error found on documents submitted. <b>Satisfactory:</b> 3 errors on documents submitted. <b>Marginal:</b> 5 errors on documents submitted. <b>Poor:</b> More than 5 errors on documents submitted OR any error found on documents submitted that impacts the DOE budgeting process.	Provide Government with accurate and reliable means of managing contract costs.	
2A	<b>CYBER SECURITY</b>			
2	Operate and maintain firewall(s).	<b>Excellent:</b> No unscheduled service outages AND configuration management is maintained in accordance with policy. <b>Good:</b> Not more than 1 hour in any given month of service outage during standard hours of operation AND not more than 8 hours of service outage in any given month. <b>Satisfactory:</b> Not more than 2 hours of service outage during standard hours of operation in any month AND not more than 12 hours of service in any month. <b>Marginal:</b> More than 2 hours of service outage during standard hours of operation, OR more than 12 hours of service outage in a given month OR (firewall maintenance procedures are not followed AND no negative impact realized.) <b>Poor:</b> More than 4 hours of service outage during standard hours of operation OR more than 24 hours of unscheduled service outage in a given month; OR a negative impact is realized.	Objective is to safeguard NETL data.	

NO.	STANDARD	PERFORMANCE MEASURE	OVERALL GOAL OR REASON FOR MEASURE	TRACKING
3	Provide anti-virus protection by applying all updates in a timely manner.	<p><b>Excellent:</b> All updates applied (on the same day of release for automated processes and within 1 working day for manual processes) AND no virus infections on internal or external machines.</p> <p><b>Good:</b> All updates applied (within 1 day of release for automated processes and within 2 business days for manual processes) AND no virus infections spread to multiple machines (internal or external).</p> <p><b>Satisfactory:</b> All updates applied (within 2 days of release for automated processes and within 3 business days for manual processes) AND no virus infections spread to multiple machines (internal or external).</p> <p><b>Marginal:</b> All updates applied (within 3 days of release for automated processes or within 4 business days for manual processes) AND no virus infections spread to multiple machines (internal or external).</p> <p><b>Poor:</b> An update applied (in more than 3 days of release for automated processes or more than 4 business days for manual processes) OR a virus infection is spread to multiple machines (internal or external).</p>	Objective is to safeguard NETL data.	
4	Maintain cyber security policies and procedures, including maintaining security architecture and operating procedures.	<p><b>Excellent:</b> All requirements in NETL cyber security policies and procedures are followed, AND process improvements implemented.</p> <p><b>Good:</b> All requirements in NETL cyber security policies and procedures are followed.</p> <p><b>Satisfactory:</b> No deficiencies are detected that have a negative impact on the organization.</p> <p><b>Marginal:</b> More than 4 deficiencies are detected in adhering to compliance with NETL cyber security policies and procedures OR a deficiency is detected that has a negative impact on the organization.</p> <p><b>Poor:</b> More than 6 deficiencies are detected in adhering to compliance with NETL cyber security policies and procedures OR more than one deficiency is detected that has a negative impact on the organization.</p>	Objective is to safeguard NETL data and to promote computer security awareness.	



NO.	STANDARD	PERFORMANCE MEASURE	OVERALL GOAL OR REASON FOR MEASURE	TRACKING
5	Advisory notices, alarms, alerts, or other cyber security concerns (e.g., HQ Computer Incident Advisory Capability (CIAC), CERT, NID, CI, FBI, internal data, IG, system logs, etc.) received, evaluated and appropriate action taken.	<p><b>Excellent:</b> Appropriate action taken within 1 working day of receipt, AND high risk notices are handled on same day as receipt, AND closure with points of contact is handled within 3 days, AND performance monitors are briefed on actions taken to mitigate vulnerabilities.</p> <p><b>Good:</b> Appropriate action taken within 2 working days (1 working day if notice is a high risk) of receipt AND closure is completed within 3 days to ensure notices are addressed.</p> <p><b>Satisfactory:</b> Appropriate action taken within 5 working days (2 working days if notice is a high risk) of receipt AND closure with appropriate points of contact are completed within 5 working days of action taken to ensure notices are addressed.</p> <p><b>Marginal:</b> Appropriate action is not taken within 5 working days (2 working days if notice is a high risk) of receipt OR closure is not completed within 5 working days.</p> <p><b>Poor:</b> Appropriate action is not taken within 10 working days (4 working days if notice is a high risk) of receipt or follow-up is not completed within 10 days, OR a negative impact to the organization is realized that could have been avoided if appropriate action had been taken.</p>	Objective is to safeguard NETL data.	

NO.	STANDARD	PERFORMANCE MEASURE	OVERALL GOAL OR REASON FOR MEASURE	TRACKING
6	Successful and on-time completion of all security projects, and assignments by milestones/completion dates.	<p><b>Excellent:</b> Project plans are maintained, AND include resource requirements, AND not more than 2 weeks out of date, AND milestones/completion dates are met, AND sound and reasonable justification is provided for any project plan changes, AND project plans are comprehensive AND project plans are effectively used to manage and communicate work, AND no more than 1 completion date is missed, AND no critical due dates are missed.</p> <p><b>Good:</b> Project plans are maintained AND not more than 3 weeks out of date, AND milestones/completion dates are met, AND project plans are comprehensive AND project plans are effectively used to manage and communicate work, AND no more than 3 completion dates are missed, AND no critical due dates are missed.</p> <p><b>Satisfactory:</b> Project plans are maintained AND not more than 4 weeks out of date, AND milestones/completion dates are met, AND project plans are comprehensive AND project plans are effectively used to manage and communicate work, AND no more than 5 completion dates are missed, AND no critical due dates are missed.</p> <p><b>Marginal:</b> Project plans are maintained but are more than 4 weeks out of date, OR project plans are not comprehensive and only represent a portion of the workload, OR more than 3 completion dates are missed, OR a critical due date is missed.</p> <p><b>Poor:</b> Project plans are not maintained OR project plans are more than 6 weeks out of date, OR project plans are not representative of the workload and ineffective for management and communication of the work, OR more than 5 completion dates are missed, OR more than 2 critical due dates are missed.</p>	Objective is to stay ahead of delivery dates, to keep customer apprised of moving deadlines, and to meet customer expectations by providing timely delivery of products/services.	
3A	<b>COMPUTER FACILITY OPERATIONS (CLIENT SERVER) SUPPORT</b>			
7	Key production IT servers available during normal hours of operation.	<p><b>Excellent:</b> No cumulative server down time.</p> <p><b>Good:</b> Server down time is less than 2 cumulative hours.</p> <p><b>Satisfactory:</b> Server down time is less than 4 cumulative hours.</p> <p><b>Marginal:</b> Server down time is less than 8 cumulative hours.</p> <p><b>Poor:</b> Server down time exceeds 12 cumulative hours.</p>	Employees must have appropriate tools available to them during standard hours of operation.	

NO.	STANDARD	PERFORMANCE MEASURE	OVERALL GOAL OR REASON FOR MEASURE	TRACKING
8	Successful and on-time completion of projects.	<p><b>Excellent:</b> All requested project plans are submitted on time AND all projects are completed early.</p> <p><b>Good:</b> All requested project plans are submitted on time AND no projects are completed late.</p> <p><b>Satisfactory:</b> No more than 1 project plan is submitted late AND no more than 1 project is completed late.</p> <p><b>Marginal:</b> No more than 2 requested project plans are submitted late AND no more than 2 projects are completed late.</p> <p><b>Poor:</b> More than 2 requested project plans are submitted late OR more than 2 projects are completed late.</p>	Objective is to stay ahead of delivery dates and to meet customer expectations by providing timely delivery of products/services.	
9	Execution of preventive maintenance program.	<p><b>Excellent:</b> All preventive maintenance objectives are accomplished.</p> <p><b>Good:</b> All but 2 preventive maintenance objectives are accomplished AND no service outages occur as a result of these objectives not being met.</p> <p><b>Satisfactory:</b> All but 10 preventive maintenance objectives are accomplished AND no service outages occur as a result of these objectives not being met.</p> <p><b>Marginal:</b> More than 10 preventive maintenance objectives are not accomplished OR more than two service outages are a result of preventive maintenance objectives not being met.</p> <p><b>Poor:</b> More than two service outages are a result of a preventive maintenance objective not being met.</p>	Objective is to maintain optimum operational availability of IT services through preventive measures.	
10	Availability of CHRIS services to all locations from 7:00 a.m. to 8:00 p.m. EST.	<p><b>Excellent:</b> 100% uptime is achieved for CHRIS services.</p> <p><b>Satisfactory:</b> 99.5% uptime is achieved for CHRIS services.</p> <p><b>Marginal:</b> Less than 99.5% uptime is achieved for CHRIS services OR CHRIS services are unavailable for more than 8 contiguous hours.</p> <p><b>Poor:</b> Less than 99% uptime is achieved for CHRIS services OR CHRIS services provided by NETL are unavailable for more than 24 contiguous hours.</p>	CHRIS is a critical system that must be available to on-site and off-site DOE personnel.	

NO.	STANDARD	PERFORMANCE MEASURE	OVERALL GOAL OR REASON FOR MEASURE	TRACKING
11	Server data protection activities.	<p><b>Excellent:</b> All system data and user data restore requests are fulfilled AND at least 10 requests were processed.</p> <p><b>Good:</b> No more than 1 user data restore requests are unfulfilled AND at least 10 requests were processed.</p> <p><b>Satisfactory:</b> No more than 2 user data restore requests are unfulfilled.</p> <p><b>Marginal:</b> More than 2 user data restore requests are unfulfilled</p> <p><b>Poor:</b> At least one system data restore request is unfulfilled OR more than 5 user data restore requests are unfulfilled.</p>	Objective is safeguard NETL data.	
12	Disaster Recovery Planning.	<p><b>Excellent:</b> Disaster Recovery Plan is kept current (is reflective of the "in effect" IT architecture throughout the performance period) AND at least one test has been performed and was completely successful.</p> <p><b>Good:</b> Disaster Recovery Plan is kept current (is reflective of the "in effect" IT architecture throughout the performance period) AND at least one test has been performed and was completely successful.</p> <p><b>Satisfactory:</b> Disaster Recovery Plan exists AND is in compliance with the annual update and testing requirement.</p> <p><b>Marginal:</b> Annual update of the NETL Disaster Recovery Plan does not occur OR an annual (based on fiscal year) test of the Disaster Recovery Plan is not performed.</p> <p><b>Poor:</b> Annual update of the NETL Disaster Recovery Plan does not occur OR an annual (based on fiscal year) test of the Disaster Recovery Plan is not performed or the Disaster Recovery Plan fails to support an actual event.</p>	Objective is safeguard NETL data	
13	Operate and maintain all elements of a collaborative electronic messaging system including SMTP e-mail systems during standard hours of operation.	<p><b>Excellent:</b> 100% uptime is achieved per work week</p> <p><b>Good:</b> 99% average uptime or better is achieved per work week</p> <p><b>Satisfactory:</b> 98% average uptime or better is achieved per work week</p> <p><b>Marginal:</b> Less than 98% average uptime is achieved per work week</p> <p><b>Poor:</b> Less than 98% average uptime is achieved per work week AND any down for a period of more than 4 contiguous hours.</p>	The collaborative electronic messaging system and SMTP E-Mail is the primary application in use at NETL. It is important that the application remain available for use during standard hours of operation. E-Mail operations should endeavor for 24 X 7 operations except during scheduled maintenance.	

NO.	STANDARD	PERFORMANCE MEASURE	OVERALL GOAL OR REASON FOR MEASURE	TRACKING
4A	<b>DESKTOP</b>			
14	Quickly respond and resolve user problems on or before the due date as designated on the trouble tickets.	<b>Excellent:</b> 100% of all trouble tickets closed on or before due date. <b>Good:</b> 99% of all trouble tickets closed on or before due date. <b>Satisfactory:</b> 97% of all call trouble tickets closed on or before due date. <b>Marginal:</b> 96% of all call trouble tickets closed on or before due date. <b>Poor:</b> Less than 96% of all call trouble tickets closed on or before due date	Goal is to ensure that timely customer service is provided.	
15	Customer problems are resolved in a timely and competent manner.	<b>Excellent:</b> 3 or less user complaints AND no issues identified within the call logging database, AND average of 5 points on customer survey responses. <b>Good:</b> 4 user complaints AND no issues identified within the call logging database, AND survey average of 4 points on customer survey responses. <b>Satisfactory:</b> 5 user complaints OR 3 issue identified within the call logging database OR survey average of 4 points on customer survey responses. <b>Marginal:</b> 6 user complaints OR 5 issues identified within the call logging database OR survey average of less than 4 points on customer survey responses. <b>Poor:</b> More than 6 user complaints OR more than 7 issues identified within the call login database, OR an average score of 3 points or less on the customer survey responses.	Goal is to provide quality customer service.	
16	Successful and on-time completion of all projects and database updates.	<b>Excellent:</b> 100% of projects and database updates are completed on or before the due date. <b>Good:</b> 99% of projects and database updates are completed on or before the due date. <b>Satisfactory:</b> 97% of projects and database updates are completed on or before the due date. <b>Marginal:</b> 96% are completed on or before the due date. <b>Poor:</b> Less than 96% of projects and database updates are completed on or before the due date OR any project or database update is completed more than 10 days late.	Objective is to stay ahead of delivery dates, to keep customer apprised of moving deadlines, and to meet customer expectations by providing timely delivery of products/services.	

NO.	STANDARD	PERFORMANCE MEASURE	OVERALL GOAL OR REASON FOR MEASURE	TRACKING
5A	<b>TELECOMMUNICATIONS SERVICES</b>			
17	Switched voice and data service availability.	<p><b>Excellent:</b> 100% availability of switched services during all weeks AND documentation of system resource assignments is accurately maintained and updated within 5-days of action (Move, Add or Change).</p> <p><b>Good:</b> 100% availability of switched services during all weeks AND documentation of system resource assignments is accurately maintained and updated within 7-days of action (Move, Add or Change).</p> <p><b>Satisfactory:</b> 100% availability of switched services during all weeks AND documentation of system resource assignments is accurately maintained and updated within 10-days of action (Move, Add or Change).</p> <p><b>Marginal:</b> Not less than 99.9% availability of switched services during any week AND no more than 15-minutes service outage during a rating period.</p> <p><b>Poor:</b> Less than 99.9% availability of switched services during any week OR more than 15-minutes of service outage during a rating period.</p>	Ensure critical telecommunications services, needed by NETL staff to conduct business, are available to NETL staff.	
18	Successful project planning and execution.	<p><b>Excellent:</b> All projects are completed before scheduled due date AND all critical milestones are completed before scheduled due date.</p> <p><b>Satisfactory:</b> All projects are completed on or before scheduled due date AND all critical milestones are completed on or before scheduled due date.</p> <p><b>Marginal:</b> No more than 3 projects or critical milestones are completed late AND all projects and critical milestones are completed within 5 days of scheduled due date.</p> <p><b>Poor:</b> 4 or more projects or critical milestones are completed late OR any project is completed more than 5 days after the scheduled due date OR any critical milestone is completed more than 5 days after the scheduled due date.</p>	Objective is to stay ahead of delivery dates, to keep customer apprised of moving deadlines, and to meet customer expectations by providing timely delivery of products/services.	

NO.	STANDARD	PERFORMANCE MEASURE	OVERALL GOAL OR REASON FOR MEASURE	TRACKING
19	Voice mail service availability during standard hours of operation.	<p><b>Satisfactory:</b> 100% availability of Voice Mail services during all work weeks.</p> <p><b>Marginal:</b> Not less than 97% availability of voice mail services during any work week AND not more than 25-minutes service outage during an evaluation period.</p> <p><b>Poor:</b> Less than 97% availability of voice mail services during any work week OR greater than 25-minutes total service outage during an evaluation period.</p>	Ensure voice mail services are available to NETL staff.	
20	Video conferencing service availability during standard hours of operation.	<p><b>Excellent:</b> 100% availability of all Video Conferencing services during all work weeks AND all failed systems are restored to service within 1 business day</p> <p><b>Satisfactory:</b> 100% availability of all Video Conferencing services during all work weeks AND all failed systems are restored to service within 2 business days.</p> <p><b>Marginal:</b> Not less than 95% availability of any Video Conferencing system during any work week OR 2 or more times failed systems are restored to service in more than 2 business days</p> <p><b>Poor:</b> Less than 95% availability of any Video Conferencing system OR 3 or more times failed systems are restored to service in more than 2 business days.</p>	Ensure video conferencing services are available to NETL staff.	
6A	<b>NETWORKS (DATA SERVICES)</b>			

NO.	STANDARD	PERFORMANCE MEASURE	OVERALL GOAL OR REASON FOR MEASURE	TRACKING
21	Network services availability Define Hours of coverage as 24 hours	<p><b>Excellent:</b> Availability of network services meets or exceeds 99.9% AND network monitoring identifies all potential service issues AND Contractor takes appropriate, timely actions to correct all service issues before they have an impact on any NETL staff.</p> <p><b>Good:</b> Availability of network services meets or exceeds 99.8% AND network monitoring identifies all potential service issues AND Contractor takes appropriate, timely actions to correct all service issues before they have a significant impact on any NETL staff.</p> <p><b>Satisfactory:</b> Availability of network services meets or exceeds 99.5% AND Contractor performs network monitoring and reporting on a regular basis AND Contractor actions have no negative impact on network services.</p> <p><b>Marginal:</b> Availability of network services is less than 99.5% OR Contractor performs network monitoring and reporting on an intermittent basis OR Contractor actions have minor negative impact on network services.</p> <p><b>Poor:</b> Availability of network services is less than 99.3% OR Contractor actions have significant negative impact on network services.</p>	Ensure availability of Network services LAN/WAN for NETL communications.	
22	Successful project planning, successful completion of critical milestones and on-time project completion.	<p><b>Excellent:</b> All projects and critical milestones are completed on or before scheduled due date AND all assigned action items are completed on-time.</p> <p><b>Good:</b> All projects and critical milestones are completed on or before scheduled date AND no more than 3 action items are completed late.</p> <p><b>Satisfactory</b> No more than 2 projects or critical milestones are completed after due date OR no more than 5 action items are completed late.</p> <p><b>Marginal:</b> No more than 3 projects or critical milestones are completed after due date OR no more than 7 action items are completed late.</p> <p><b>Poor:</b> More than 3 projects or critical milestones are completed after due date AND more than 7 action items are completed late.</p>	Network projects deliver new and improved services that meet organizational requirements in a cost effective manner.	
7A	CLIENT SYSTEMS ENGINEERING			



NO.	STANDARD	PERFORMANCE MEASURE	OVERALL GOAL OR REASON FOR MEASURE	TRACKING
23	Configuration changes delivered to managed client systems do not result in a subsequent failure of the client system.	<p><b>Excellent:</b> No errors or failures to any managed workstations occur after delivery of any applications or updates to the managed workstation.</p> <p><b>Good:</b> No more than one instance where an application or update introduces an error condition that must be fixed, but doesn't result in the managed workstation being inoperable.</p> <p><b>Satisfactory:</b> No more than two instances where an application or update introduces an error condition that must be fixed, but doesn't result in the managed workstation being inoperable.</p> <p><b>Marginal:</b> There are three or more instances where an application or update introduces an error condition that must be fixed, but doesn't result in the managed workstation being inoperable.</p> <p><b>Poor:</b> Deployment of an application or update results in a failure of the managed workstation that renders the managed workstation inoperable.</p>	The goal is deliver applications and/or updates to the managed workstation without introducing errors that prevent the managed workstation from operating correctly after the deployment. The intent of this standard is to ensure that all reasonable steps have been taken to prevent the deployment of an application or update that results in a significant loss of productivity on the part of users, or requires a significant effort to restore functionality to the managed workstation.	
24	Successful completion of scheduled projects by due date.	<p><b>Excellent:</b> All scheduled projects are successfully completed before their due date.</p> <p><b>Good:</b> All scheduled projects are successfully completed on or before their due date.</p> <p><b>Satisfactory:</b> All scheduled projects are successfully completed by their due date.</p> <p><b>Marginal:</b> No more than one project was not successfully completed by the due date.</p> <p><b>Poor:</b> Two or more projects were not completed by the due date.</p>	The goal is to stay ahead of delivery dates, to keep customer apprised of moving deadlines, and to meet customer expectations by providing timely delivery of products/services. It is understood that due dates on projects will change for various reasons, but the changes must be negotiated.	
8A	<b>ENTERPRISE ARCHITECTURE SUPPORT</b>			
25	Performs the work within the proposed and agreed upon schedule.	<p><b>Excellent:</b> The completion of one or more projects ahead of schedule has positively affective the schedule of 3 or more other projects AND all other projects are on schedule at the project milestone level.</p> <p><b>Good:</b> Each project is on or ahead of schedule at project milestone level.</p> <p><b>Satisfactory:</b> Each project is on schedule at the overall project level.</p> <p><b>Marginal:</b> A project completion date has passed and the work is not completed.</p> <p><b>Poor:</b> A missed project completion date has negatively affective the completion date of 3 or more other projects.</p>	The goal is to manage resources in a manner that results in meeting project schedules.	

NO.	STANDARD	PERFORMANCE MEASURE	OVERALL GOAL OR REASON FOR MEASURE	TRACKING
26	Organizational performance improvement as measured by return on investment (ROI) for each EA project.	<p><b>Excellent:</b> Anticipated ROI and realized ROI are within <math>\pm 15\%</math>.</p> <p><b>Good:</b> Anticipated ROI is calculated prior to the initiation of all EA projects AND realized ROI is calculated within 6 months of the completion of all EA projects.</p> <p><b>Satisfactory:</b> Anticipated ROI is calculated prior to the initiation of all EA projects.</p> <p><b>Marginal:</b> Anticipated ROI is not calculated prior to the initiation of all EA projects.</p> <p><b>Poor:</b> Anticipated ROI is calculated prior to the initiation of less than 50% of the newly initiated EA projects OR a methodology to capture ROI is not documented and deployed.</p>	The goal is to expend resources in areas that provide the greatest return.	
27	Maintains positive rapport with NETL business representatives. Business representatives often serve in roles of Business Information Officers and Business Domain Experts.	<p><b>Excellent:</b> 2 or more unsolicited positive responses from business representatives AND no unsolicited negative feedback responses from business representatives AND a composite score on the customer survey of 4.85 or higher on a scale of 1 to 5.</p> <p><b>Good:</b> No unsolicited negative feedback responses from business representatives AND a composite score on the customer survey of 4.75 or higher on a scale of 1 to 5.</p> <p><b>Satisfactory:</b> 2 or fewer unsolicited negative feedback responses from business representatives AND a composite score on the customer survey of 4.5 on a scale of 1 to 5.</p> <p><b>Marginal:</b> 3 or more unsolicited negative feedback responses from business representatives OR a composite score on the customer survey of less than 4.5 on a scale of 1 to 5.</p> <p><b>Poor:</b> Negative feedback response which highlights a performance deficit which has resulted in a business representative disengaging from an EA activity OR a composite score on the customer survey of less than 3.0 on a scale of 1 to 5.</p>	The goal is to achieve positive professional rapport with NETL business representatives.	

NO.	STANDARD	PERFORMANCE MEASURE	OVERALL GOAL OR REASON FOR MEASURE	TRACKING
28	Performs modeling and related documentation in compliance with NETL EA procedures and practices.	<p><b>Excellent:</b> Made recommendation for improvement to modeling procedures and practices which has been accepted and which result in significant cost, schedule, or quality improvement AND no discrepancies between the procedures and practices and the models and documentation are noted on any single project during the rating period.</p> <p><b>Good:</b> No discrepancies between the procedures and practices and the models and documentation are noted on any single project during the rating period.</p> <p><b>Satisfactory:</b> Three or fewer discrepancies between the procedures and practices and the models and documentation are noted on any single project during the rating period.</p> <p><b>Marginal:</b> More than three discrepancies are noted on a single project during the rating period OR the modeling and related documents of one or more projects require rework to meet the procedures and practices.</p> <p><b>Poor:</b> The modeling and related documents of one or more projects require rework to meet the procedures and practices AND in order to perform the rework a business representative must be involved in order to capture lost or replace incorrectly modeled business information.</p>	The goal is the development of modeling and related documentation which is repeatable, defined, managed, and optimized.	
29	Improve EA procedures and practices.	<p><b>Excellent:</b> Present at least one recommendation for procedure and practices improvement each month AND (provide objective documentation illustrating that at least one implemented accepted improvement has resulted in an annual cost savings of \$25,000 OR project schedule savings of at least 25%).</p> <p><b>Good:</b> Present at least one recommendation for procedure and practices improvement each month AND (provide objective documentation illustrating that at least one implemented accepted improvement will result in an annual cost savings of \$10,000 OR project schedule savings of at least 15%).</p> <p><b>Satisfactory:</b> Present at least one recommendation for procedure and practices improvement each month AND implement accepted improvements.</p> <p><b>Marginal:</b> Presented less than one recommendation for procedure and practices improvement each month OR did not implement accepted improvement.</p> <p><b>Poor:</b> Accepted and implemented procedures and practices improvements are not followed.</p>	The goal is the continuous improvement and maturation of EA procedures and practices.	

NO.	STANDARD	PERFORMANCE MEASURE	OVERALL GOAL OR REASON FOR MEASURE	TRACKING
30	Annual cost of IT application portfolio	<p><b>Excellent:</b> The annual cost to maintain the IT application portfolio is documented and the life cycle cost, life expectancy and stage of life is presented for each enterprise application AND the similar planning data generated for all enterprise applications is deemed accurate within 10% based on actual cost data.</p> <p><b>Good:</b> The annual cost to maintain the IT application portfolio is documented and the life cycle cost, life expectancy and stage of life is presented for each enterprise application AND similar data is generated for all planned enterprise applications.</p> <p><b>Satisfactory:</b> The annual cost to maintain the IT application portfolio is documented AND the life cycle cost, life expectancy and stage of life is presented for each enterprise application.</p> <p><b>Marginal:</b> The annual cost to maintain the IT application portfolio is not documented OR the life cycle cost, life expectancy and stage of life is not managed for each enterprise application.</p> <p><b>Poor:</b> The annual cost to maintain the IT application portfolio is not documented AND the life cycle cost, life expectancy and stage of life is not managed for each enterprise application AND there is no approved plan to achieve satisfactory performance.</p>	The goal is to provide the information necessary to manage the cost and succession of NETL's application portfolio.	
9A	<b>ENTERPRISE SYSTEM DEVELOPMENT AND MAINTENANCE</b>			
31	Ensure systems are designed to fulfill user requirements.	<p><b>Excellent:</b> Implement 100% of approved user requirements.</p> <p><b>Good:</b> Implement 99.5% approved user requirements.</p> <p><b>Satisfactory:</b> Implement 99% approved user requirements.</p> <p><b>Marginal:</b> Implement 98% approved user requirements.</p> <p><b>Poor:</b> Implement less than 97% approved user requirements.</p>	Objective is to deliver products that meet customer requirements.	
32	Ensure production applications are operational during standard hours of operation.	<p><b>Excellent:</b> 100% uptime is achieved per work week.</p> <p><b>Good:</b> 99.5% average uptime or better is achieved per work week.</p> <p><b>Satisfactory:</b> 99% average uptime is achieved per work week.</p> <p><b>Poor:</b> Less than average 98.5% uptime is achieved per work week.</p>	Employees must have appropriate tools available to them during standard hours of operation.	

NO.	STANDARD	PERFORMANCE MEASURE	OVERALL GOAL OR REASON FOR MEASURE	TRACKING
33	Required actions taken necessary to correct problems regarding user issues once product has been released to production.	<b>Excellent:</b> 0 actions required. <b>Satisfactory:</b> 1 action required. <b>Marginal:</b> 2 actions required. <b>Poor:</b> More than 2 actions required.	Objective is to deliver products that meet customer requirements	
34	Ensure adherence to Software Life Cycle Methodology phase elements.	<b>Excellent:</b> 0 phase elements in error or missed. <b>Satisfactory:</b> 1 phase element in error or missed. <b>Marginal:</b> 2 phase elements in error or missed. <b>Poor:</b> More than 2 phase elements in error or missed.	Objective is to minimize cost of solutions provided and provide effective and efficient operation and support.	
35	Successful and on-time completion of Enterprise System projects.	<b>Excellent:</b> All projects are completed on time AND all milestones are met on time. <b>Good:</b> No more than 1 project is completed late AND no more than 5 milestones are missed. <b>Satisfactory:</b> No more than 2 projects are completed late AND no more than 10 milestones are missed. <b>Marginal:</b> More than 2 projects are completed late OR more than 10 milestones are missed. <b>Poor:</b> More than 4 projects are completed late.	Objective is to stay ahead of delivery dates, to keep customer apprised of moving deadlines, and to meet customer expectations by providing timely delivery of products/services.	
36	Ensure documentation and artifacts are consistent with Software Life Cycle Methodology and are completed on or before the due date.	<b>Excellent:</b> All required documentation and artifacts are completed on time. <b>Good:</b> No more than 2 documents or artifacts are completed late AND no more than 1 document or artifact is missed. <b>Satisfactory:</b> No more than 4 documents or artifacts are completed late AND no more than 2 documents or artifacts are missed. <b>Marginal:</b> More than 5 documents or artifacts are completed late OR more than 4 documents or artifacts are missed. <b>Poor:</b> More than 7 documents OR artifacts are completed late.	Objective is to minimize cost of solutions provided and provide effective and efficient operation and support.	

**Performance Area 4.6 Contract Management and ES&H (10% of Maximum Available Award Fee)**

The quality of Contractor management shall be evaluated based on the following factors:

- a. Problem Resolution - The demonstrated ability of the Contractor to:
  - (1) identify potential problems in a timely manner; and
  - (2) promptly remedy, correct, or eliminate undesirable conditions that arise during service area performance.
- b. Coordination - The demonstrated ability of the Contractor to effectively coordinate on-site and off-site support of the Contractor, its principal subcontractors, and its vendors or lower tier subcontractors to accomplish all assigned objectives as authorized.
- c. Innovation - The Contractor's demonstrated innovation in recommending actions or plans for DOE approval which substantially increase the value of support services through cost reduction and/or improvement of results.
- d. Financial Reporting - The demonstrated ability to provide accurate and timely cost data, contractual reports, invoices, plans, and proposals per the contract's terms and conditions.
- e. Contract Notifications - The demonstrated ability of the Contractor to comply with the contract's term and conditions affecting contract cost (e.g., issuance of limitation of cost letters on a task and subtask basis, etc.).
- f. Cost Effectiveness - The demonstrated ability of the Contractor to develop and implement practices and processes resulting in cost efficiencies.
- g. Manpower Management - The demonstrated ability of the Contractor to manage direct labor and other direct cost as identified in the task's or subtask's authorized plan.
- h. Environment, Safety, and Health (ES&H) - The Contractor's demonstrated compliance to contractually identified Federal, state, and local ES&H requirements.
- i. Integrated Safety Management (ISM) - The demonstrated ability of the Contractor to:
  - (1) Apply ISM's seven principles and five functions in the planning, budgeting, execution, and improvement of its management and work activities.
  - (2) Implement the requirements in their ISM plan.
  - (3) Implement the requirements of NETL's environmental management system (EMS).
- j. Socioeconomic - The demonstrated ability to achieve or exceed socioeconomic goals identified in DOE approved Subcontracting Plan.

The Contractor shall be evaluated on the ability to provide objective evidence indicating the demonstration of the management quality factors listed above. The breadth and depth of demonstration will be primary factor evaluated. This criterion will be scored from 0 to 4 as outlined below.

<b>Factor</b>	<b>Expectations</b>	<b>Level of Performance</b>	<b>Performance Score</b>
Quality Management	100% demonstration (through objective evidence) of quality management factors	100 % demonstration of quality management factors.	+2
		Widespread demonstration (e.g., high majority of factors objectively demonstrated) of quality management factors.	+1
		Good demonstration (e.g., majority of factors objectively demonstrated) of quality management factors.	0
		Fair demonstration (e.g., some of the factors objectively demonstrated) of quality management factors.	-1
		Inconsistent and/or lacking demonstration of quality management factors.	-2

**J.5 ATTACHMENT D – DEPARTMENT OF LABOR WAGE DETERMINATION**

A copy of Department of Labor Wage Determination Numbers 1994-2574 R14, dated 2/25/2002 and 1994-2452 R15, dated 6/2/2003 are incorporated in this contract and attached as a separate .pdf file (entitled 41820 Attachment D.pdf).



**J.6 ATTACHMENT E – COST MANAGEMENT REPORT / STAFFING SUMMARY REPORT / INVOICE DETAIL REPORT**

An Adobe Acrobat (.pdf) file is incorporated in this contract as the format required for the Cost Management Report, Staffing Summary Report, and Invoice Detail Report and is attached as a separate .pdf file (entitled 41820 Attachment E.pdf).

**J.7 ATTACHMENT F – COST EXHIBITS**

The Cost Exhibits referenced in Section L, Clause L.16 entitled “Proposal Preparation Instructions – Volume III, Cost Proposal (AUG 2003) are incorporated into this solicitation and are attached as a separate .pdf file (entitled 41820 Attachment F.pdf)

**SECTION K - REPRESENTATIONS, CERTIFICATIONS, AND OTHER STATEMENTS OF OFFERORS OR QUOTERS**

**K.1 52.203-11 CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS. (APR 1991)**

(a) The definitions and prohibitions contained in the clause, at FAR 52.203-12, Limitation on Payments to Influence Certain Federal Transactions, included in this solicitation, are hereby incorporated by reference in paragraph (b) of this certification.

(b) The offeror, by signing its offer, hereby certifies to the best of his or her knowledge and belief that on or after December 23, 1989 -

(1) No Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement;

(2) If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with this solicitation, the offeror shall complete and submit, with its offer, OMB standard form LLL, Disclosure of Lobbying Activities, to the Contracting Officer; and

(3) He or she will include the language of this certification in all subcontract awards at any tier and require that all recipients of subcontract awards in excess of \$100,000 shall certify and disclose accordingly.

(c) Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by section 1352, title 31, United States Code. Any person who makes an expenditure prohibited under this provision or who fails to file or amend the disclosure form to be filed or amended by this provision, shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

**K.2 52.204-3 TAXPAYER IDENTIFICATION. (OCT 1998)**

(a) *Definitions.*

“Common parent,” as used in this provision, means that corporate entity that owns or controls an affiliated group of corporations that files its Federal income tax returns on a consolidated basis, and of which the offeror is a member.

“Taxpayer Identification Number (TIN),” as used in this provision, means the number required by the Internal Revenue Service (IRS) to be used by the offeror in reporting income tax and other returns. The TIN may be either a Social Security Number or an Employer Identification Number.

(b) All offerors must submit the information required in paragraphs (d) through (f) of this provision to comply with debt collection requirements of 31 U.S.C. 7701(c) and 3325(d), reporting requirements of 26 U.S.C. 6041, 6041A, and 6050M, and implementing regulations issued by the IRS. If the resulting contract is subject to the payment reporting requirements described in Federal Acquisition Regulation (FAR) 4.904, the failure or refusal by the offeror to furnish the information may result in a 31 percent reduction of payments otherwise due under the contract.

(c) The TIN may be used by the Government to collect and report on any delinquent amounts arising out of the offeror's relationship with the Government (31 U.S.C. 7701(c)(3)). If the resulting contract is subject to the payment reporting requirements described in FAR 4.904, the TIN provided hereunder may be matched with IRS records to verify the accuracy of the offeror's TIN.

(d) *Taxpayer Identification Number (TIN).*

☐ TIN: \_\_\_\_\_.

☐ TIN has been applied for.

☐ TIN is not required because:

☐ Offeror is a nonresident alien, foreign corporation, or foreign partnership that does not have income effectively connected with the conduct of a trade or business in the United States and does not have an office or place of business or a fiscal paying agent in the United States;

☐ Offeror is an agency or instrumentality of a Foreign Government;

☐ Offeror is an agency or instrumentality of the Federal Government.

(e) *Type of organization.*

☐ Sole proprietorship;

☐ Partnership;

☐ Corporate entity (not tax-exempt);

☐ Corporate entity (tax-exempt);

☐ Government entity (Federal, State, or local);

☐ Foreign Government;

☐ International organization per 26 CFR 1.6049-4;

☐ Other \_\_\_\_\_.

(f) *Common parent.*

☐ Offeror is not owned or controlled by a common parent as defined in paragraph (a) of this provision.

☐ Name and TIN of common parent:

Name \_\_\_\_\_

TIN \_\_\_\_\_

**K.3 52.204-5 WOMEN-OWNED BUSINESS (OTHER THAN SMALL BUSINESS). (MAY 1999)**

(a) *Definition.* "Women-owned business concern," as used in this provision, means a concern that is at least 51 percent owned by one or more women; or in the case of any publicly owned business, at least 51 percent of its stock is owned by one or more women; and whose management and daily business operations are controlled by one or more women.

(b) *Representation.* [Complete only if the offeror is a women-owned business concern and has not represented itself as a small business concern in paragraph (b)(1) of FAR 52.219-1, *Small Business Program Representations*, of this solicitation.] The offeror represents that it \* is a women-owned business concern.

**K.4 52.209-5 CERTIFICATION REGARDING DEBARMENT, SUSPENSION, PROPOSED DEBARMENT, AND OTHER RESPONSIBILITY MATTERS. (DEC 2001)**

(a)(1) The Offeror certifies, to the best of its knowledge and belief, that -

(i) The Offeror and/or any of its Principals -

(A) Are ☐ are not ☐ presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency;

(B) Have ☐ have not ☐, within a three-year period preceding this offer, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) contract or subcontract; violation of Federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, or receiving stolen property; and

(C) Are ☐ are not ☐ presently indicted for, or otherwise criminally or civilly charged by a Governmental entity with, commission of any of the offenses enumerated in paragraph (a)(1)(i)(B) of this provision.

(ii) The Offeror has ☐ has not ☐, within a three-year period preceding this offer, had one or more contracts terminated for default by any Federal agency.

(2) "Principals," for the purposes of this certification, means officers; directors; owners; partners; and, persons having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a subsidiary, division, or business segment, and similar positions).

This Certification Concerns a Matter Within the Jurisdiction of an Agency of the United States and the Making of a False, Fictitious, or Fraudulent Certification May Render the Maker Subject to Prosecution Under Section 1001, Title 18, United States Code.

(b) The Offeror shall provide immediate written notice to the Contracting Officer if, at any time prior to contract award, the Offeror learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

(c) A certification that any of the items in paragraph (a) of this provision exists will not necessarily result in withholding of an award under this solicitation. However, the certification will be considered in connection with a determination of the Offeror's responsibility. Failure of the Offeror to furnish a certification or provide such additional information as requested by the Contracting Officer may render the Offeror nonresponsible.

(d) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Offeror is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

(e) The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Offeror knowingly rendered an erroneous certification, in addition to other remedies available to the Government, the Contracting Officer may terminate the contract resulting from this solicitation for default.

**K.5 52.215-6 PLACE OF PERFORMANCE. (OCT 1997)**

(a) The offeror or respondent, in the performance of any contract resulting from this solicitation, [ ] intends, [ ] does not intend [*check applicable block*] to use one or more plants or facilities located at a different address from the address of the offeror or respondent as indicated in this proposal or response to request for information.

(b) If the offeror or respondent checks “intends” in paragraph (a) of this provision, it shall insert in the following spaces the required information:

Place of Performance (Street Address, City, State, County, Zip Code)	Name and Address of Owner and Operator of the Plant or Facility if Other than Offeror or Respondent
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**K.6 52.219-1 SMALL BUSINESS PROGRAM REPRESENTATIONS. (APR 2002) - ALTERNATE I (APR 2002)**

(a)(1) The North American Industry Classification System (NAICS) code for this acquisition is 541513.

(2) The small business size standard is 21.0 million.

(3) The small business size standard for a concern which submits an offer in its own name, other than on a construction or service contract, but which proposes to furnish a product which it did not itself manufacture, is 500 employees.

(b) *Representations.* (1) The offeror represents as part of its offer that it [ ] is, [ ] is not a small business concern.

(2) [*Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.*] The offeror represents, for general statistical purposes, that it [ ] is, [ ] is not, a small disadvantaged business concern as defined in 13 CFR 124.1002.

(3) [*Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.*] The offeror represents as part of its offer that it [ ] is, [ ] is not a women-owned small business concern.

(4) [*Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.*] The offeror represents as part of its offer that it [ ] is, [ ] is not a veteran-owned small business concern.

(5) [*Complete only if the offeror represented itself as a veteran-owned small business concern in paragraph (b)(4) of this provision.*] The offeror represents as part of its offer that it [ ] is, [ ] is not a service-disabled veteran-owned small business concern.

(6) [*Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.*] The offeror represents, as part of its offer, that-

(i) It [ ] is, [ ] is not a HUBZone small business concern listed, on the date of this representation, on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration, and no material change in ownership and control, principal office, or HUBZone employee percentage has occurred since it was certified by the Small Business Administration in accordance with 13 CFR part 126; and

(ii) It [ ] is, [ ] is not a joint venture that complies with the requirements of 13 CFR part 126, and the representation in paragraph (b)(6)(i) of this provision is accurate for the HUBZone small business concern or concerns that are participating in the joint venture. [The offeror shall enter the name or names of the HUBZone small business concern or concerns that are participating in the joint venture:\_\_\_\_\_.] Each HUBZone small business concern participating in the joint venture shall submit a separate signed copy of the HUBZone representation.

(7) [Complete if offeror represented itself as disadvantaged in paragraph (b)(2) of this provision.] The offeror shall check the category in which its ownership falls:

\_\_\_\_\_ Black American.

\_\_\_\_\_ Hispanic American.

\_\_\_\_\_ Native American (American Indians, Eskimos, Aleuts, or Native Hawaiians).

\_\_\_\_\_ Asian-Pacific American (persons with origins from Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Japan, China, Taiwan, Laos, Cambodia (Kampuchea), Vietnam, Korea, The Philippines, U.S. Trust Territory of the Pacific Islands (Republic of Palau), Republic of the Marshall Islands, Federated States of Micronesia, the Commonwealth of the Northern Mariana Islands, Guam, Samoa, Macao, Hong Kong, Fiji, Tonga, Kiribati, Tuvalu, or Nauru).

\_\_\_\_\_ Subcontinent Asian (Asian-Indian) American (persons with origins from India, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives Islands, or Nepal).

\_\_\_\_\_ Individual/concern, other than one of the preceding.

(c) *Definitions.* As used in this provision -

“Service-disabled veteran-owned small business concern” -

(1) Means a small business concern -

(i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and

(ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.

(2) Service-disabled veteran means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16).

“Small business concern” means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding on Government contracts, and qualified as a small business under the criteria in 13 CFR part 121 and the size standard in paragraph (a) of this provision.

“Veteran-owned small business concern” means a small business concern -

- (1) Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and
- (2) The management and daily business operations of which are controlled by one or more veterans.

“Women-owned small business concern” means a small business concern -

- (1) That is at least 51 percent owned by one or more women; or in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and
  - (2) Whose management and daily business operations are controlled by one or more women.
- (d) *Notice.* (1) If this solicitation is for supplies and has been set aside, in whole or in part, for small business concerns, then the clause in this solicitation providing notice of the set-aside contains restrictions on the source of the end items to be furnished.
- (2) Under 15 U.S.C. 645(d), any person who misrepresents a firm's status as a small, HUBZone small, small disadvantaged, or women-owned small business concern in order to obtain a contract to be awarded under the preference programs established pursuant to section 8(a), 8(d), 9, or 15 of the Small Business Act or any other provision of Federal law that specifically references section 8(d) for a definition of program eligibility, shall -
- (i) Be punished by imposition of fine, imprisonment, or both;
  - (ii) Be subject to administrative remedies, including suspension and debarment; and
  - (iii) Be ineligible for participation in programs conducted under the authority of the Act.

**K.7 52.222-22 PREVIOUS CONTRACTS AND COMPLIANCE REPORTS. (FEB 1999)**

The offeror represents that -

- (a) It ☐ has, ☐ has not participated in a previous contract or subcontract subject the Equal Opportunity clause of this solicitation;
- (b) It ☐ has, ☐ has not filed all required compliance reports; and
- (c) Representations indicating submission of required compliance reports, signed by proposed subcontractors, will be obtained before subcontract awards.

**K.8 52.222-25 AFFIRMATIVE ACTION COMPLIANCE. (APR 1984)**

The offeror represents that -

- (a) It ☐ has developed and has on file, ☐ has not developed and does not have on file, at each establishment, affirmative action programs required by the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2); or
- (b) It ☐ has not previously had contracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor.



**K.9 52.223-13 CERTIFICATION OF TOXIC CHEMICAL RELEASE REPORTING. (JUN 2003)**

(a) Submission of this certification is a prerequisite for making or entering into this contract imposed by Executive Order 12969, August 8, 1995.

(b) By signing this offer, the offeror certifies that -

(1) As the owner or operator of facilities that will be used in the performance of this contract that are subject to the filing and reporting requirements described in section 313 of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA) (42 U.S.C. 11023) and section 6607 of the Pollution Prevention Act of 1990 (PPA) (42 U.S.C. 13106), the offeror will file and continue to file for such facilities for the life of the contract the Toxic Chemical Release Inventory Form (Form R) as described in sections 313(a) and (g) of EPCRA and section 6607 of PPA; or

(2) None of its owned or operated facilities to be used in the performance of this contract is subject to the Form R filing and reporting requirements because each such facility is exempt for at least one of the following reasons: *[Check each block that is applicable.]*

☐ (i) The facility does not manufacture, process, or otherwise use any toxic chemicals listed under section 313(c) of EPCRA, 42 U.S.C. 11023(c);

☐ (ii) The facility does not have 10 or more full-time employees as specified in section 313(b)(1)(A) of EPCRA, 42 U.S.C. 11023(b)(1)(A);

☐ (iii) The facility does not meet the reporting thresholds of toxic chemicals established under section 313(f) of EPCRA, 42 U.S.C. 11023(f) (including the alternate thresholds at 40 CFR 372.27, provided an appropriate certification form has been filed with EPA);

☐ (iv) The facility does not fall within Standard Industrial Classification Code (SIC) major groups 20 through 39 or their corresponding North American Industry Classification System (NAICS) sectors 31 through 33; or

☐ (v) The facility is not located in the United States or its outlying areas.

**K.10 52.227-15 REPRESENTATION OF LIMITED RIGHTS DATA AND RESTRICTED COMPUTER SOFTWARE. (MAY 1999)**

(a) This solicitation sets forth the work to be performed if a contract award results, and the Government's known delivery requirements for data (as defined in FAR 27.401). Any resulting contract may also provide the Government the option to order additional data under the Additional Data Requirements clause at 52.227-16 of the FAR, if included in the contract. Any data delivered under the resulting contract will be subject to the Rights in Data - General clause at 52.227-14 that is to be included in this contract. Under the latter clause, a Contractor may withhold from delivery data that qualify as limited rights data or restricted computer software, and deliver form, fit, and function data in lieu thereof. The latter clause also may be used with its Alternates II and/or III to obtain delivery of limited rights data or restricted computer software, marked with limited rights or restricted rights notices, as appropriate. In addition, use of Alternate V with this latter clause provides the Government the right to inspect such data at the Contractor's facility.

(b) As an aid in determining the Government's need to include Alternate II or Alternate III in the clause at 52.227-14, Rights in Data - General, the offeror shall complete paragraph (c) of this provision to either state that none of the data qualify as limited rights data or restricted computer software, or identify, to the extent feasible, which of the data qualifies as limited rights data or restricted computer software. Any identification of limited rights data or restricted computer software in the offeror's response is not determinative of the status of such data should a contract be awarded to the offeror.

(c) The offeror has reviewed the requirements for the delivery of data or software and states [*offeror check appropriate block*] -

[ ] None of the data proposed for fulfilling such requirements qualifies as limited rights data or restricted computer software.

[ ] Data proposed for fulfilling such requirements qualify as limited rights data or restricted computer software and are identified as follows:

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Note: "Limited rights data" and "Restricted computer software" are defined in the contract clause entitled "Rights in Data - General."

**K.11 COMPLIANCE WITH VETERANS EMPLOYMENT REPORTING REQUIREMENTS (JUNE 1999)**

(a) The Offeror represents that, if it is subject to the reporting requirements of 38 U.S.C. 4212(d) (i.e. the VETS-100 report required by the Federal Acquisition Regulation clause 52.222-37, Employment Reports on Disabled Veterans and Veterans of the Vietnam Era), it has [ ], has not [ ] submitted the most recent report required by 38 U.S.C. 4212(d).

(b) An Offeror who checks "has not" may not be awarded a contract until the required reports are filed. (31 U.S.C. 1354)

**K.12 SIGNATURE/CERTIFICATION (SEP 2003)**

By typing the name of the authorized organizational representative (i.e. the administrative official, who, on behalf of the proposing organization, is authorized to make certifications and assurances or to commit the applicant to the conduct of a project), the offeror certifies, under penalty of law, that the representations and certifications are accurate, current, and complete. The offeror further certifies that it will notify the Contracting Officer of any changes to these representations and certifications. The representations and certification made by the offeror, as contained herein, concern matters within the jurisdiction of an agency of the United States and the making of a false, fictitious, or fraudulent representation or certification may render the maker subject to prosecution under Title 18, United States Code, Section 1001.

\_\_\_\_\_  
Typed Name and Title of the Officer or Employee  
Responsible for the Offer

\_\_\_\_\_  
Date of Execution

Name and Address of Organization:

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Solicitation Number: \_\_\_\_\_

**SECTION L - INSTRUCTIONS, CONDITIONS, AND NOTICES TO OFFERORS OR QUOTERS****L.1 CONSECUTIVE NUMBERING (JAN 1999)**

Due to automated procedures employed in formulating this document, clauses and provisions contained within it may not always be consecutively numbered.

**L.2 CONTENT OF RESULTING CONTRACT (NOV 1998)**

Any contract awarded as a result of this RFP will contain PART I - The Schedule, PART II - Contract Clauses, and PART III, Section J - List of Attachments (excluding those attachments included in this RFP relating to submission of proposals). Blank areas appearing in these sections, indicated by "TBD" will be completed prior to contract award.

**L.3 RESPONSIBLE PROSPECTIVE CONTRACTORS (JUNE 1999)**

All responsible small business concerns expressly certified by the Small Business Administration (SBA) for participation in the SBA's 8 (a) Program and who meet the requirements of FAR 52.219-18, as listed in Section I of this solicitation, may submit proposals for consideration. The general and additional minimum standards for responsible prospective Contractors set forth at FAR 9.1 apply.

DOE may conduct preaward surveys in accordance with FAR 9.106 and may solicit from available sources, relevant information concerning the offeror's record of past performance, and use such information in making determinations of prospective offeror responsibility.

**L.4 52.216-1 TYPE OF CONTRACT. (APR 1984)**

The Government contemplates award of an IDIQ Task Order contract resulting from this solicitation. It is anticipated that the requirements listed in the Statement of Work, Section J, Attachment A, Service Areas 4.1, 4.2, 4.3, 4.4, and 4.6 will be issued as a single Cost Plus Award Fee Task Order. The contract also allows for placement of Cost Plus Fixed-Fee and Firm-Fixed Price Task Orders.

**L.5 NUMBER OF AWARDS (NOV 1997)**

It is anticipated that there will be one (1) award resulting from this solicitation. However, the Government reserves the right to make any number of awards, or no award, if considered to be in the Government's best interest to do so.

**L.6 52.215-1 INSTRUCTIONS TO OFFERORS - COMPETITIVE ACQUISITION. (MAY 2001)**

(a) *Definitions.* As used in this provision -

"Discussions" are negotiations that occur after establishment of the competitive range that may, at the Contracting Officer's discretion, result in the offeror being allowed to revise its proposal.

"In writing, writing, or written" means any worded or numbered expression that can be read, reproduced, and later communicated, and includes electronically transmitted and stored information.

"Proposal modification" is a change made to a proposal before the solicitation's closing date and time, or made in response to an amendment, or made to correct a mistake at any time before award.

"Proposal revision" is a change to a proposal made after the solicitation closing date, at the request of or as allowed by a Contracting Officer as the result of negotiations.

"Time," if stated as a number of days, is calculated using calendar days, unless otherwise specified, and will include Saturdays, Sundays, and legal holidays. However, if the last day falls on a Saturday, Sunday, or legal holiday, then the period shall include the next working day.

(b) *Amendments to solicitations.* If this solicitation is amended, all terms and conditions that are not amended remain unchanged. Offerors shall acknowledge receipt of any amendment to this solicitation by the date and time specified in the amendment(s).

(c) *Submission, modification, revision, and withdrawal of proposals.*

(1) Unless other methods (e.g., electronic commerce or facsimile) are permitted in the solicitation, proposals and modifications to proposals shall be submitted in paper media in sealed envelopes or packages

- (i) addressed to the office specified in the solicitation, and
- (ii) showing the time and date specified for receipt, the solicitation number, and the name and address of the offeror. Offerors using commercial carriers should ensure that the proposal is marked on the outermost wrapper with the information in paragraphs (c)(1)(i) and (c)(1)(ii) of this provision.

(2) The first page of the proposal must show -

- (i) The solicitation number;
- (ii) The name, address, and telephone and facsimile numbers of the offeror (and electronic address if available);
- (iii) A statement specifying the extent of agreement with all terms, conditions, and provisions included in the solicitation and agreement to furnish any or all items upon which prices are offered at the price set opposite each item;
- (iv) Names, titles, and telephone and facsimile numbers (and electronic addresses if available) of persons authorized to negotiate on the offeror's behalf with the Government in connection with this solicitation; and
- (v) Name, title, and signature of person authorized to sign the proposal. Proposals signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

(3) *Submission, modification, revision, and withdrawal of proposals.*

(i) Offerors are responsible for submitting proposals, and any modifications or revisions, so as to reach the Government office designated in the solicitation by the time specified in the solicitation. If no time is specified in the solicitation, the time for receipt is 4:30 p.m., local time, for the designated Government office on the date that proposal or revision is due.

(ii)(A) Any proposal, modification, or revision received at the Government office designated in the solicitation after the exact time specified for receipt of offers is "late" and will not be considered unless it is received before award is made, the Contracting Officer determines that accepting the late offer would not unduly delay the acquisition; and -

(1) If it was transmitted through an electronic commerce method authorized by the solicitation, it was received at the initial point of entry to the Government infrastructure not later than 5:00 p.m. one working day prior to the date specified for receipt of proposals; or

(2) There is acceptable evidence to establish that it was received at the

Government installation designated for receipt of offers and was under the Government's control prior to the time set for receipt of offers; or

(3) It is the only proposal received.

(B) However, a late modification of an otherwise successful proposal that makes its terms more favorable to the Government, will be considered at any time it is received and may be accepted.

(iii) Acceptable evidence to establish the time of receipt at the Government installation includes the time/date stamp of that installation on the proposal wrapper, other documentary evidence of receipt maintained by the installation, or oral testimony or statements of Government personnel.

(iv) If an emergency or unanticipated event interrupts normal Government processes so that proposals cannot be received at the office designated for receipt of proposals by the exact time specified in the solicitation, and urgent Government requirements preclude amendment of the solicitation, the time specified for receipt of proposals will be deemed to be extended to the same time of day specified in the solicitation on the first work day on which normal Government processes resume.

(v) Proposals may be withdrawn by written notice received at any time before award. Oral proposals in response to oral solicitations may be withdrawn orally. If the solicitation authorizes facsimile proposals, proposals may be withdrawn via facsimile received at any time before award, subject to the conditions specified in the provision at 52.215-5, Facsimile Proposals. Proposals may be withdrawn in person by an offeror or an authorized representative, if the identity of the person requesting withdrawal is established and the person signs a receipt for the proposal before award.

(4) Unless otherwise specified in the solicitation, the offeror may propose to provide any item or combination of items.

(5) Offerors shall submit proposals in response to this solicitation in English, unless otherwise permitted by the solicitation, and in U.S. dollars, unless the provision at FAR 52.225-17, Evaluation of Foreign Currency Offers, is included in the solicitation.

(6) Offerors may submit modifications to their proposals at any time before the solicitation closing date and time, and may submit modifications in response to an amendment, or to correct a mistake at any time before award.

(7) Offerors may submit revised proposals only if requested or allowed by the Contracting Officer.

(8) Proposals may be withdrawn at any time before award. Withdrawals are effective upon receipt of notice by the Contracting Officer.

(d) *Offer expiration date.* Proposals in response to this solicitation will be valid for the number of days specified on the solicitation cover sheet (unless a different period is proposed by the offeror).

(e) *Restriction on disclosure and use of data.* Offerors that include in their proposals data that they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, shall -

(1) Mark the title page with the following legend:

This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this proposal. If, however, a contract is

awarded to this offeror as a result of - or in connection with - the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets [*insert numbers or other identification of sheets*]; and

(2) Mark each sheet of data it wishes to restrict with the following legend:

Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this proposal.

(f) *Contract award.*

(1) The Government intends to award a contract or contracts resulting from this solicitation to the responsible offeror(s) whose proposal(s) represents the best value after evaluation in accordance with the factors and subfactors in the solicitation.

(2) The Government may reject any or all proposals if such action is in the Government's interest.

(3) The Government may waive informalities and minor irregularities in proposals received.

(4) The Government intends to evaluate proposals and award a contract without discussions with offerors (except clarifications as described in FAR 15.306(a)). Therefore, the offeror's initial proposal should contain the offeror's best terms from a cost or price and technical standpoint. The Government reserves the right to conduct discussions if the Contracting Officer later determines them to be necessary. If the Contracting Officer determines that the number of proposals that would otherwise be in the competitive range exceeds the number at which an efficient competition can be conducted, the Contracting Officer may limit the number of proposals in the competitive range to the greatest number that will permit an efficient competition among the most highly rated proposals.

(5) The Government reserves the right to make an award on any item for a quantity less than the quantity offered, at the unit cost or prices offered, unless the offeror specifies otherwise in the proposal.

(6) The Government reserves the right to make multiple awards if, after considering the additional administrative costs, it is in the Government's best interest to do so.

(7) Exchanges with offerors after receipt of a proposal do not constitute a rejection or counteroffer by the Government.

(8) The Government may determine that a proposal is unacceptable if the prices proposed are materially unbalanced between line items or subline items. Unbalanced pricing exists when, despite an acceptable total evaluated price, the price of one or more contract line items is significantly overstated or understated as indicated by the application of cost or price analysis techniques. A proposal may be rejected if the Contracting Officer determines that the lack of balance poses an unacceptable risk to the Government.

(9) If a cost realism analysis is performed, cost realism may be considered by the source selection authority in evaluating performance or schedule risk.

(10) A written award or acceptance of proposal mailed or otherwise furnished to the successful offeror within the time specified in the proposal shall result in a binding contract without further action by either party.

(11) The Government may disclose the following information in postaward debriefings to other offerors:

- (i) The overall evaluated cost or price and technical rating of the successful offeror;
- (ii) The overall ranking of all offerors, when any ranking was developed by the agency during source selection;
- (iii) A summary of the rationale for award; and
- (iv) For acquisitions of commercial items, the make and model of the item to be delivered by the successful offeror.

**L.7 FALSE STATEMENTS (NOV 1997)**

Proposals must set forth full, accurate, and complete information as required by this solicitation (including attachments). The penalty for making false statements in proposals is prescribed in 18 U.S.C. 1001.

**L.8 EXPENSES RELATED TO OFFEROR SUBMISSIONS (FEB 1998)**

This solicitation does not commit the Government to pay any costs incurred in the submission of any proposal or in making necessary studies or designs for the preparation thereof or to acquire or contract for any services.

**L.9 ALTERNATE PROPOSAL INFORMATION - NONE (NOV 1997)**

Alternate proposals are not solicited, are not desired, and shall not be evaluated.

**L.10 CLASSIFIED MATERIAL - NONE (NOV 1997)**

Performance under the proposed contract is not anticipated to involve access to classified material.

**L.11 TIME, DATE AND PLACE PROPOSALS ARE DUE -- IIPS (MAY 2003)**

Proposals and amendments of proposals must be received by **1/28/2004**, not later than 8:00 PM Eastern Time. You are encouraged to transmit your proposal well before the deadline in order to prevent any transmission difficulties.

PROPOSALS, OR PROPOSAL FILES, THAT HAVE AN IIPS DATE/TIME STAMP LATER THAN THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.

**L.12 52.204-6 DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER. (OCT 2003)**

(a) The offeror shall enter, in the block with its name and address on the cover page of its offer, the annotation "DUNS" or "DUNS+4" followed by the DUNS number or "DUNS+4" that identifies the offeror's name and address exactly as stated in the offer. The DUNS number is a nine-digit number assigned by Dun and Bradstreet, Inc. The DUNS+4 is the DUNS number plus a 4-character suffix that may be assigned at the discretion of the offeror to establish additional CCR records for identifying alternative Electronic Funds Transfer (EFT) accounts (see Subpart 32.11) for the same parent concern.

(b) If the offeror does not have a DUNS number, it should contact Dun and Bradstreet directly to obtain one.

(1) An offeror may obtain a DUNS number-

- (i) If located within the United States, by calling Dun and Bradstreet at 1-866-705-5711 or via the Internet at <http://www.dnb.com>; or
- (ii) If located outside the United States, by contacting the local Dun and Bradstreet office.

(2) The offeror should be prepared to provide the following information:

- (i) Company legal business name.
- (ii) Tradestyle, doing business, or other name by which your entity is commonly recognized.
- (iii) Company physical street address, city, state and Zip Code.
- (iv) Company mailing address, city, state and Zip Code (if separate from physical).
- (v) Company telephone number.
- (vi) Date the company was started.
- (vii) Number of employees at your location.
- (viii) Chief executive officer/key manager.
- (ix) Line of business (industry).
- (x) Company Headquarters name and address (reporting relationship within your entity).

### **L.13 IIPS PROPOSAL PREPARATION INSTRUCTIONS - GENERAL (JUNE 2003)**

Proposals are expected to conform to the solicitation provision entitled "Instructions to Offers - Competitive Acquisition" and be prepared in accordance with this section. Bidders/Offerors are advised that the submission of your proposal in an electronic format is required utilizing the Industry Interactive Procurement System (IIPS) through the Internet at <http://e-center.doe.gov/>. IIPS provides the medium for disseminating solicitations, receiving proposals, and evaluating proposals in a paperless environment. Individuals who have the authority to enter their company into a legally binding contract and intend to submit proposals via the IIPS system must register and receive confirmation that they registered prior to being able to submit an application on the IIPS System. **An IIPS "User Guide for Contractors" can be obtained by going to the IIPS Homepage at <http://e-center.doe.gov> and then clicking on the "Help" button.** Questions regarding the operation of IIPS may be e-mailed to the IIPS Help Desk at [IIPS\\_HelpDesk@e-center.doe.gov](mailto:IIPS_HelpDesk@e-center.doe.gov) or call the Help Desk at (800) 683-0751.

To aid in evaluation, proposals shall be clearly and concisely written as well as being neat, indexed (cross-indexed as appropriate), and logically assembled. All pages of each part shall be appropriately numbered, and identified with the name of the offeror, the date, and the solicitation number to the extent practicable. Proposal files are to be formatted in one of the following applications: **Adobe Acrobat PDF, Microsoft Word (2002 or earlier), and/or Microsoft Excel (2002 or earlier).**

#### **(a) OVERALL ARRANGEMENT OF PROPOSAL**

The overall proposal shall consist of 3 physically separated volumes, individually entitled as stated below and submitted through IIPS at <https://e-center.doe.gov>.

PROPOSAL VOLUME -- TITLE	SIZE LIMITATION
Volume I -- Offer and Other Documents	None
Volume II -- Technical Proposal	60 pages (excluding cover page, table of contents, resumes, staffing plan, organization plan, and past performance)
Volume III -- Cost Proposal	None

#### **(b) ELECTRONIC SUBMISSION**

Proposals must be submitted through the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov> in accordance with the instructions in this solicitation. **ONLY PROPOSALS SUBMITTED THROUGH IIPS WILL BE CONSIDERED FOR AWARD.**

You are encouraged to test the IIPS submission of proposals. An IIPS "User Guide for Contractors" can be obtained by going to the IIPS Homepage at <http://e-center.doe.gov> and then clicking on the "Help" button.

As indicated previously in this solicitation, FAR 52.215-1 Instructions to Offerors - Competitive Acquisition (MAY 2001), section (c)(3)(ii)(A)(1) applies to this solicitation.



Electronic files of a large size may take a considerable amount of time to upload. It is your responsibility to allow an adequate amount of time for your proposal submission.

(c) ELECTRONIC SIGNATURE

Proposals submitted through IIPS constitute submission of electronically signed proposals. The name of the authorized organizational representative (i.e. the administrative official, who, on behalf of the proposing organization, is authorized to make certifications and assurances or to commit the Contractor to the conduct of a project) must be typed in the signature block on the form to be accepted as an electronic signature. A scanned copy of the signed document is not required.

(d) IIPS REGISTRATION

In order to submit a proposal, you must be authorized by the applicant (i.e., institution or business entity) to submit a proposal on its behalf and you must register in IIPS. You are encouraged to register as soon as possible. You only have to register once to apply for any DOE award. To register:

- Go to the IIPS website at <http://e-center.doe.gov>.
- Click on the "Register" button on the left.
- Click on the box that says, "Check this box for Acquisitions greater than Simplified Acquisitions threshold or financial assistance".
- Click on "Proceed to Form".
- Read the "Security Alert" and click on "Yes" to proceed.
- Read the "Notice of Disclaimer" and click on "I Accept".
- Complete the Registration Form.
- Click on "Submit Registration". You will receive an acknowledgement confirming receipt of your registration.

Then you will receive an email confirming successful registration. If you do not receive an email confirmation within one business day, contact the IIPS Help Desk at 1-800-683-0751 and select option 1, or send an email to [HelpDesk@e-center.doe.gov](mailto:HelpDesk@e-center.doe.gov).

Note the user name on your confirmation and your password for future reference. You must use this user name and password for any proposals submitted in IIPS.

**L.14 PREPARATION INSTRUCTIONS: VOLUME I - OFFER AND OTHER DOCUMENTS (MAY 2003)**

Volume I, Offer and Other Documents consists of the actual offer to enter into a contract to perform the desired work. It also includes required representations, certifications, and acknowledgments, justification for noncompetitive proposed subcontracts, identification of technical data to be withheld, and any deviations taken.

When the applicant begins to "Create Proposal" for the ITES, the applicant will complete the required fields and attach the following files to the link identified as: Attach Volume I/Offer or Other Documents.

For consistency, the applicant is instructed to use the file names specified below. Filename extensions shall clearly indicate the software application used for preparation of the documents, i.e., ".pdf" for Adobe Acrobat, or ".doc" for Word files:

(a) **FORMAT AND CONTENT**

Volume I, Offer and Other Documents, shall include the following documents (in the order listed):

MANDATORY FILE	FILE NAME
File 1 Offer Cover Sheet	Offer Cover Sheet.---

File 2	SF33 Form -- Solicitation, Offer and Award	SF33.---
File 3	Section K - Representations and Certifications	SectionK.---
File 4	Exceptions and Deviations	Exception.---
File 5	Transition Plan	Transition.---

**(b) FILE 1, OFFER COVER SHEET**

The Offer Cover Sheet shall consist of Company Name, address, telephone number, line of business, Chief Executive Officer/Key Manager, and DUNS number as required in FAR Clause 52.204-6 Data Universal Numbering System (DUNS) Number (OCT 2003).

**(c) FILE 2, SF33 FORM - SOLICITATION, OFFER AND AWARD**

The SF33 Form has been uploaded with the solicitation, as a separate Word document (SF33.doc), which can be used for the offeror to complete, save and submit as File 2. The following areas must be completed on the SF33:

- (1) Offerors shall complete Blocks 12, 15A, 15B, 15C, 16, and sign in block 17 (typed name of authorized organizational representative). The SF33 is to be fully executed, including the acknowledgment of amendments, if applicable.
- (2) The offeror's Acceptance Period (See Block 12) entered shall not be less than 180 days.
- (3) Signature Authority. The person signing the SF33 must have the authority to commit the offeror to all of the provisions of the proposal, fully recognizing that the Government has the right, by terms of the solicitation, to make an award without further discussion if it so elects. Proposals submitted through IIPS constitute submission of electronically signed proposals. The name of the authorized organizational representative (i.e. the administrative official, who, on behalf of the proposing organization, is authorized to make certifications and assurances or to commit the applicant to the conduct of a project) must be typed in the signature block on the form to be accepted as an electronic signature. A scanned copy of the signed document is not required.

**(d) FILE 3, SECTION K - REPRESENTATIONS AND CERTIFICATIONS**

Section K has been uploaded with the solicitation, as a separate Word document (SectionK.doc), which can be used for the offeror to complete, save and submit as File 3. Offeror Representations and Certifications included under Section K of this solicitation are to be fully completed and executed with electronic signature.

**(e) FILE 4, EXCEPTIONS AND DEVIATIONS**

The offeror shall identify and explain any exceptions or deviations taken or conditional assumptions made with respect to the resulting contract (as identified in L.2 Content of Resulting Contract), Offeror Representations and Certifications, and the requirements included in Volume I -- Offer and Other Documents, Volume II - Technical Proposal, and Volume III -- Cost Proposal, if applicable. Any exceptions taken must contain sufficient justification to permit evaluation. The benefit to the Government shall be explained for each exception taken. Any exceptions or deviations may make the proposal unacceptable for award without discussions. Any exceptions or deviations to Section I of the RFP, or any FAR or DEAR clauses elsewhere in the RFP, will make the proposal non-responsive to this RFP.

**(f) FILE 5, TRANSITION PLAN**

The offeror shall provide its approach to planning and staffing a phase-in of approximately 60 days in length. The offeror shall describe in detail the manner in which it intends to assume responsibility for the work described in the statement of work from the incumbent Contractor. The offeror shall describe its Human Resource approach and the manner in which it proposes to fill the staffing positions of the core work responsibilities indicated in the Statement of Work Service Areas 4.1, 4.2, 4.3, 4.4, and 4.6.

**L.15 PREPARATION INSTRUCTIONS: VOLUME II - TECHNICAL PROPOSAL (MAY 2003)**

Volume II - Technical Proposal consists of the offeror's narrative addressing the technical and management aspects of the acquisition, his capabilities and what he will do to satisfy the requirements of the Statement of Work. Since the Technical Proposal will be evaluated to determine such matters as understanding of the work to be performed, technical approach, and potential for completing the desired work, it should be specific and complete in every detail. The proposal should be practical and be prepared simply and economically, providing a straightforward, concise delineation of what it is the offeror will do to satisfy the Department of Energy's requirements as set forth in Part III, Section J, Attachment A.

The Technical Proposal shall be evaluated strictly on the merit of the material submitted. No contractual cost information is to be included in the Technical Proposal. Where estimated direct productive labor hours (DPLH) will provide clarity, they shall be quoted in DPLH figures only, with no indication as to the cost of these DPLH.

The proposal shall contain a description of the proposed lines of investigation, method of approach to the problem(s), any recommended changes to the Statement of Work, the phases or steps into which this project should logically be divided, estimated time required to complete each phase or step, and any other information considered pertinent to the problem(s).

The proposal shall not merely offer to perform work in accordance with the Statement of Work but shall describe the actual work proposed. The Statement of Work reflects the performance objectives of the program under consideration; therefore, repeating the scope of work without sufficient elaboration will not be acceptable.

**(a) FORMAT AND CONTENT**

When the Offeror begins to "Create Proposal" for the ITES, the Offeror will create an IIPS cover page and attach the required files to the link identified as: Attach Volume 2/ Technical Proposal.

For consistency, the Offeror is instructed to use the file names specified below. Filename extensions shall clearly indicate the software application used for preparation of the documents, i.e, ".pdf" for Adobe Acrobat, or ".doc" for Word files:

	MANDATORY FILES	FILENAME
File 1	Technical Approach Discussion	TECHNICAL.---
File 2	Resumes of Key Personnel and/or Letters of Commitment, if applicable.	RESUMES.---
File 3	Management Approach Discussion	MANAGEMENT.---
File 4	Staffing Plan for work included in the SOW Service Areas 4.1, 4.2, 4.3, 4.4, and 4.6.	STAFFING PLAN.---
File 5	Corporate Organization Structure	ORGANIZATION PLAN.---
File 6	Experience Discussion	EXPERIENCE.---
File 7	Past Performance Information	PAST PERFORMANCE.---

**(b) FILE 1, TECHNICAL APPROACH DISCUSSION**

It is requested that the Technical Approach discussion not exceed thirty (30) pages (excluding cover page and table of contents), single spaced, using 12 point font, 1" margins, and when printed will fit on size 8 1/2" by 11" paper. DOE believes a thorough and concise technical discussion can be prepared within the requested page limit.

Proposals that contain a technical discussion file in excess of the requested page limit, shall receive a significant weakness under the technical evaluation criteria of the solicitation (a 10% reduction in score will be assigned to proposals that exceed the page limitation).

To help facilitate the review process and to insure addressing all the review criteria, the Offeror shall use the following format when preparing the Technical Approach discussion file. This format relates to the technical evaluation criteria found in Part IV -- Section M. Alternate heading names and additional headings may be included as desired.

#### COVER PAGE

The Technical Approach discussion file shall include a cover page indicating the solicitation number, name and address of the Offeror, point of contact, telephone/FAX number/E-Mail address, title of project, and date of proposal as per FAR 52.215-1. The title of the proposed effort should be concise and descriptive of the work to be performed. All subsequent pages shall be appropriately numbered and identified with the name of the applicant, the date, and the solicitation number to the extent practicable

#### TABLE OF CONTENTS

The Technical Approach discussion file shall include a Table of Contents to facilitate locating the elements of the proposal. All exhibits should be identified.

#### TECHNICAL APPROACH

This section shall contain the major portion of the Technical Approach discussion. It shall clearly address each of the Technical Approach evaluation criteria in Part IV -- Section M. It should be presented in as much detail as practical and include the following aspects for appropriate criteria or subordinate factors.

(a) The Offeror shall provide a technical proposal that describes its approach for satisfying the technical requirements for each of the elements in Section J, Attachment A, Statement of Work (SOW). The technical proposal shall clearly describe how the Offeror will meet the requirements identified in the SOW and ensure that technical performance meets the NETL requirement. It is suggested as a minimum, a response to each of the elements in the SOW should be provided. The methodology for managing variable task orders shall also be addressed. These items may represent work which requires additional personnel or other resources at fluctuating levels.

Questions or Topics to address at a minimum include (questions/topics listed below will not be scored individually during the evaluation, the evaluation will be done on the offerors overall information for this area):

1. Describe your application development and maintenance methodologies.
2. If you were to create an optimal environment for development of technology solutions, what would that environment look like?
3. How would you approach selection, implementation, and deployment of an enterprise wide technology (e.g., Portal Technology)?
4. Describe how you would apply maturing technology in ways that meets NETL's business needs (planning) and achieves an optimal Return on Investment (ROI) (measurement).
5. Describe how you determine the appropriate time to introduce tools and technical solutions.
6. Describe how you ensure end user satisfaction is achieved.
7. Describe your vision of where the discipline of Enterprise Architecture may be going.
8. Describe your approach to reviewing and managing large volumes of audit data to support cyber security requirements.
9. Describe your cyber security risk assessment methodology.
10. Describe your approach to preventive maintenance of IT.
11. Describe your approach to resource utilization monitoring and capacity planning in the areas of servers, networking, and telecommunications.

12. Describe your approach to staffing a Helpdesk to support 1200 users (handling 2000+ calls/month) with coverage for 7:00 a.m. to 6:30 p.m. M-F.
13. Describe your approach to ensure Helpdesk staff resolve user questions during first contact.
14. Describe your approach to developing and maintaining network documentation.
15. Describe your approach to effecting change upon the configuration of a large (1000+) population of workstations.
16. Describe your approach to implementing a commercial off the shelf (COTS) information system.
17. Describe your experience with scheduling deployment of and deploying new and upgraded computers to a large population (1000+).
18. Describe your methodology for Certification and Accreditation of General Support Systems and Major Applications.

**(c) FILE 2, RESUMES OF KEY PERSONNEL, CRITICAL PERSONNEL AND/OR LETTERS OF COMMITMENT, IF APPLICABLE.**

It is requested that the Resumes of Key Personnel, Critical Personnel and/or Letters of Commitment be single spaced, using 12 point font, 1" margins, and when printed will fit on size 8 1/2" by 11" paper. Proposals not submitted in the requested format, shall receive a significant weakness under the evaluation criteria of the solicitation (a 10% reduction in score will be assigned to proposals that do not conform with the required format). The page limitation set forth in L.13 for Volume II does not apply to File 2, Resumes of Key Personnel and/or Letters of Commitment.

In this section, the Offeror must introduce and clearly indicate their selected team of key personnel and demonstrate why they should be considered qualified and effective. All key personnel are those personnel that will be incorporated into Section H, Clause "Key Personnel/Program Manager (MAR 1998)". Letters of Commitment must be included for all personnel identified as Key Personnel. The key personnel will be evaluated in the areas of education, operational experience, management experience, and professional development based upon the requirements of the RFP. In addition, it is requested that the offeror provide resumes for staff other than key personnel that are considered critical to the accomplishment of the work. These critical personnel will be reviewed to determine their caliber and fit to accomplish the work as described in the Statement of Work.

Submit and clearly identify personnel resumes for all individuals to be committed to the contract as key personnel and those identified as critical personnel. Each resume must follow the format provided below. Each must contain the names and telephone numbers of at least three business-related references not associated with your company. Documentation shall be provided indicating all key personnel's firm commitment to accept the position(s) proposed. An indication of the percentage of time each key personnel will dedicate to the contract must be provided.

**NAME:**

**PROPOSED POSITION (Title and Description):**

**EDUCATION:**

List each degree received, the name of the College/University granting the degree, and the year in which the degree was received. Only degrees from accredited institutions shall be cited. Degrees from institutions that are not accredited will not be considered.

**PROFESSIONAL AND/OR TECHNICAL TRAINING:**

For each relevant training course cited, list the title of the training, the training institution, the date of the training, and any special certifications or licensing received for the training.

**PROFESSIONAL REGISTRATION/CERTIFICATION:**

For each relevant professional registration/certification, list Title, State/Society, Year, and a brief statement detailing activities/accomplishments.

**JOB ASSIGNMENTS:**

Starting with the present or most recent position, list (at a minimum) the last three (3) major job assignments. Supervisors and customer references may be contacted during the proposal evaluation. Experience prior to 1988

should be summarized for those individuals having more than 15 years of work experience. For each job assignment provide the following information:

Dates:

Title:

Employer Name:

Address:

Telephone Number:

Type of Business:

Supervisor Name:

#### **HONORS, AWARDS, AND OTHER ACHIEVEMENTS:**

Provide a brief statement detailing relevant accomplishments, publications, awards, honors, etc.

#### **(d) FILE 3, MANAGEMENT APPROACH DISCUSSION.**

It is requested that the Management Approach discussion not exceed fifteen (15) pages (excluding cover page and table of contents), single spaced, using 12 point font, 1" margins, and when printed will fit on size 8 1/2" by 11" paper. DOE believes a thorough and concise discussion can be prepared within the requested page limit. Proposals that contain a file in excess of the requested page limit, shall receive a significant weakness under the evaluation criteria of the solicitation (a 10% reduction in score will be assigned to proposals that exceed the page limitation).

This section shall explain the Offeror's management approach and understanding of the requirements identified in Section J, Attachment A, Statement of Work (SOW). It should be presented in as much detail as practical and include the following:

##### Onsite Management

The Offeror shall provide a description of the management approach that will be used onsite to ensure the requirements of the statement of work are met. The description should state the supervisory controls to be used, methods of communication between management and employees, methods of communication between management and NETL, and how task assignments will be made and monitored.

##### Company Management Commitment

The Offeror shall (questions listed below will not be scored individually during the evaluation, the evaluation will be done on the offerors overall information for this area):

1. Describe the expected participation and contribution of their company's top management in the proposed work.
2. Discuss the interest and priority their company will place on this work.
3. Provide the name of the top company official (Corporate Sponsor) who will be responsible for this effort.
4. Describe the involvement of top management, as well as, the availability of assistance in any specialty areas required to solve specific problems.
5. Describe the line of communication from the on-site project manager to company management, including the lines of authority to the project manager.

##### Project Management Plan

The Offeror shall provide a Project Management Plan that shows (questions/topics listed below will not be scored individually during the evaluation, the evaluation will be done on the offerors overall information for this area):

1. The Offeror's plan for recruiting and staffing the "on-demand" staffing to satisfy variable tasking requirements.
2. The lines of communication within each unit shown on the organization charts and responsibility for requesting and assuring support between units of the proposed project structure and from other elements of the company must be shown in relation to the requirements of the statement of work.
3. The extent of subcontracting anticipated together with a list of significant items of effort to be subcontracted. Description of teaming arrangements, if any. Description of how the Offeror will monitor

and evaluate the technical, managerial, and business performance of subcontractors and how the Offeror will address and correct identified performance problems.

4. If subcontracting is anticipated, the subcontract management procedures for source selection of subcontracts and how performance status will be determined, assessed, and projected through subcontract completion.
5. If subcontracting is anticipated, a description of the lines of communication that will exist between the subcontractor's employees and your employees.
6. The management tools and methodologies utilized, with particular emphasis on how cost, schedule, and performance status is determined, assessed, and projected throughout a project.
7. The management tools and methodologies utilized to ensure quality control.
8. A description of the communication mechanisms within your organization which ensure your staff will work in a coordinated and cooperative fashion.
9. A description of the methods to be utilized for DOE staff to access the expertise provided by the subcontractor, where subcontracting is proposed.
10. A description of your approach to staffing the "on-call" requirements of the SOW to perform remedial actions when IT service outages occur during non operating hours.
11. A description of your approach to minimize staff turnover including high stress areas such as the Helpdesk.
12. A description of how you might respond to a request for task proposal that requires expertise you do not currently have within your organization.
13. A description of how you would manage a defined portion of work, e.g., a single project.
14. A description of how you would prioritize and perform multiple projects with limited financial and staffing resources.

**(e) FILE 4, STAFFING PLAN.**

It is requested that the Staffing Plan be single spaced, using 12 point font, 1" margins, when printed will fit on size 8 1/2" by 11" paper, and must be in word (.doc), adobe (.pdf), or excel (.xls) format. Proposals not submitted in the requested format, shall receive a significant weakness under the evaluation criteria of the solicitation. The page limitation set forth in L.13 for Volume II does not apply to File 4, Staffing Plan.

The Staffing Plan shall include a detailed structure for the core work identified in the Statement of Work (SOW) Service Areas 4.1, 4.2, 4.3, 4.4, and 4.6., provided based on the Contractor's understanding of the requirements listed. Provide an organizational chart, including position titles and labor hours. In addition, provide position descriptions and proposed minimum qualifications for each position indicated. The staffing plan should also cross-reference the proposed positions to the minimum qualification categories identified in the Statement of Work (e.g. Senior Staff, Intermediate 1, Intermediate 2, or Junior Staff). The staffing plan should be complete with positions identified for all staff (including project management). All positions that the Contractor is proposing to be filled with subcontractor staff shall be clearly identified. A description of the lines of communication within each unit shown on the organizational chart(s) and responsibility for requesting and assuring support between units of the proposed project structure and from other elements of the company must be shown in relation to the requirements of the SOW Service Areas 4.1, 4.2, 4.3, 4.4 and 4.6. The Staffing Plan shall be evaluated as a part of the Management Approach.

**(f) FILE 5, CORPORATE ORGANIZATIONAL PLAN.**

It is requested that the Corporate Organizational Plan be single spaced, using 12 point font, 1" margins, when printed will fit on size 8 1/2" by 11" paper, and must be in word (.doc), adobe (.pdf), or excel (.xls) format. . Proposals not submitted in the requested format, shall receive a significant weakness under the evaluation criteria of the solicitation. The page limitation set forth in L.13 for Volume II does not apply to File 5, Corporate Organizational Plan.

The Corporate Organizational Plan shall include the company structure and lines of authority to the project manager of this effort. The Corporate Organization Plan shall be evaluated as a part of the Management Approach.

**(g) FILE 6, EXPERIENCE DISCUSSION.**

It is requested that the Experience discussion not exceed fifteen (15) pages (excluding cover page and table of contents), single spaced, using 12 point font, 1" margins, and when printed will fit on size 8 1/2" by 11" paper. DOE believes a thorough and concise discussion can be prepared within the requested page limit. Proposals that contain a file in excess of the requested page limit, shall receive a significant weakness under the evaluation criteria of the solicitation (a 10% reduction in score will be assigned to proposals that exceed the page limitation).

The Offeror shall cite experience relevant to the tasks identified in Section J, Attachment A, Statement of Work (SOW). Questions or topics to address at a minimum include (questions/topics listed below will not be scored individually during the evaluation, the evaluation will be done on the offerors overall information for this area):

1. What has been your experience dealing with the IT requirements associated with 1000 or more user populations?
2. What has been your experience dealing with customers whose organization is geographically dispersed across multiple sites?
3. Provide a brief description of your relevant experience dealing with each key element in the SOW.
4. How have you managed to attract and retain highly skilled technical people to perform work similar in nature to that described in the SOW?
5. Describe a few of your most significant lessons learned performing work similar in nature to that described in the SOW.
6. Describe a few of your most significant successes performing work similar in nature to that described in the SOW.
7. Describe some of the innovations you've brought to customers in satisfying requirements similar in nature to those identified in the SOW.
8. What are some of the customer cost savings you've accomplished while satisfying work similar in nature to those requirements identified in the SOW?
9. What are some of the proven methodologies, processes, procedures, and techniques used on previous and/or existing contracts to satisfy work similar in nature to those requirements identified in the SOW?
10. Describe your experience performing requirements analyses.
11. Describe your experience in the area of Enterprise Architecture (EA).
12. Describe your experience in developing and testing disaster recovery and contingency plans for IT operations.
13. Describe your experience managing, controlling, and documenting change in IT environments.
14. Describe your experience supporting cyber security requirements in the federal settings or a setting of similar complexity.
15. Describe your experience developing and maintaining cyber security plans.
16. Describe your experience developing cyber security training materials and classes.
17. Describe your experience dealing with telecommunication vendors to resolve installation, performance, and service disconnect problems such as T1 line failures.
18. Describe your radio frequency spectrum management experience at federal or equivalent installations.
19. Describe your experience performing real-time monitoring of network components.
20. Describe your experience managing the configuration of and changes/updates to a large, 1000 or more, population of workstations.
21. Describe your experience developing and maintaining information systems supporting large, 10,000 or more, user populations distributed across the United States.
22. Describe your experience developing n-tiered applications.
23. Describe your experience developing "thin-client/browser based" applications

**(h) FILE 7, PAST PERFORMANCE.**

It is requested that the Past Performance information be single spaced, using 12 point font, 1" margins, and when printed will fit on size 8 1/2" by 11" paper. The page limitation set forth in L.13 for Volume II does not apply to File 7, Past Performance. Offerors shall submit the following information as part of their proposal for both the offeror and proposed major subcontracts:



A list of the last 5 contracts and subcontracts for similar services completed during the past three(3) years, and all contracts and subcontracts currently in process with a total contract value greater than or equal to \$100,000 is mandatory. Contracts listed may include those entered into by the Federal Government, agencies of state and local Governments and commercial customers. Offerors that are newly formed entities without prior contracts should list contracts and subcontracts as required above for all key personnel. Include the following information for each contract and subcontract of similar services:

- (1) Name of contracting activity
- (2) Contract number
- (3) Contract type
- (4) Total contract value
- (5) Contract work
- (6) Contracting Activity Contracting Officer and telephone number
- (7) Contracting Activity Technical Program/Project Manager and telephone number
- (8) List of major subcontractors
- (9) Period of performance

The offeror may provide information on problems encountered on the contracts and subcontracts identified above for contracts of similar services and corrective actions taken to resolve those problems. Offerors should not provide general information on their performance on the identified contracts. General performance information will be obtained from the references.

The offeror may describe any quality awards or certifications that indicate the offeror possesses a high-quality process for developing and producing the product or service required. Such awards or certifications include, for example, the Malcolm Baldrige Quality Award, other Government quality awards, and private sector awards or certifications. Identify what segment of the company (one division or the entire company) that received the award or certification. Describe when the award or certification was bestowed. If the award or certification is over three years old, present evidence that the qualifications still apply.

References other than those identified by the offeror may be contacted by the Government with the information received used in the evaluation of the offeror's past performance.

#### **L.16 PROPOSAL PREPARATION INSTRUCTIONS - VOLUME III, COST PROPOSAL (AUG 2003)**

A. General. Volume III, Cost Proposal, shall consist of the offeror's estimated costs to perform the desired work as set forth in the Statement of Work. Since the Cost Proposal shall be 1) evaluated to determine cost realism, accuracy and reasonableness, and 2) the evaluated most probable cost to the Government. The Cost Proposal shall be accurate, complete, and well documented.

- (1) The Cost Proposal consists of the offeror's estimated cost/price plus award fee to perform the required work, as set forth in the Statement of Work, on a cost reimbursement basis. Contractual cost information is not to be included in the Technical Proposal. The Contractor is required to propose the award fee as indicated in the Cost Exhibits, however as indicated in Section H, H.19 Performance Based Award Fee, the actual award fee pool will be based on the amount negotiated and agreed upon.
- (2) Identification: All forms, tables, and exhibits must be identified and listed in the table of contents or index. All pages, including forms, must be numbered.
- (3) Modification to Cost Proposal: In the event of any modification to the Cost Proposal, the modification shall clearly indicate the cost impact of the modification to the same level of detail shown in the original proposal. Tables or Exhibits impacted by any change shall be clearly identified.
- (4) Definition of Terms:

- (a) On-Site: NETL's Morgantown, West Virginia and Bruceton, South Park Township, Pennsylvania sites. Work location not directly on NETL property, as authorized by the DOE Contracting Officer and paid for by NETL.
- (b) Prime Participant: Business entities other than the offeror who will act on behalf of the offeror under the contract through the expenditure of DPLH's. Prime participants may be subcontractors, teaming/joint venture partners, or interdivisional transfers.
- (5) Partnership/Teaming/Subcontracts (Including Intercompany Transfers): For each organization acting as prime participant, cost/price information shall be required and furnished in the same format and level of detail as prescribed herein for the offeror. Offeror shall provide a summary schedule totaling the efforts of all the participants.
- (6) Direct Productive Labor Hours (DPLH): Offeror shall propose direct productive labor hours in accordance with the solicitation labor categories and labor hour requirements provided. Direct Labor shall be proposed on the basis of Direct Productive Labor Hours (DPLH), i.e., estimated number of hours on the job. For the purpose of this solicitation, a full time equivalent (FTE) employee is equated to 1800 DPLH. All nonproductive labor hours (vacations, holidays, sick leave, etc.) shall be charged as an indirect cost included in the offeror's fringe benefit or labor overhead pool of expenses. Senior manager(s) and manager(s) labor and direct costs and their related support staff expense, including all those located on-site, shall be charged as an indirect expense.
- (7) Direct Labor Categories: The offeror shall identify proposed direct labor rates for each of the offeror labor categories in accordance with the offeror's accounting system and the Department of Labor Wage Determinations attached in Section J. Rates of any prime participants shall be identified with the same level of detail as for the offeror.
- (8) Rounding: Final monetary extensions shall be expressed in whole dollars.
- (9) Evaluated Cost: The cost proposed in the Cost Exhibits represent the core work of the Statement of Work (Service Areas 4.1, 4.2, 4.3, 4.4, and 4.6). The evaluation of cost will be based on the cost proposed for this core work. The variable work as indicated in the Statement of Work (Service Area 4.5) will have a ceiling value of 20% of the total cost plus award fee proposed for the core work.
- (10) Other Direct Costs: Other direct costs for travel, training, materials and supplies, and subcontracts must be proposed at the levels identified in Exhibit E of the solicitation. The subcontracts cost category shall not include labor cost for DPLH of prime participants.
- (11) On-Site Staffing: The DOE will provide office spaces at the NETL Pittsburgh site and at the NETL Morgantown site that are available for use by on-site Contractor personnel. Other associated Government furnished items for the on-site personnel include: office furniture, office equipment, computer hardware and software, local area network services, reproduction/copy machines, telephone services, utilities, security services, parking facilities, janitorial services, and other general on-site services.
- (12) Format: To facilitate the Government's review, offeror shall submit a copy of the Cost Proposal Exhibits (File 2) using an EXCEL (Version XP or lower) spreadsheet. The Contract Pricing Proposal Cover Sheet (File 1) and Cost Discussion (File 3) shall be submitted as Word documents.
- (13) Contract Start Date: For cost proposal preparation, the estimated start date of contract performance is June 1, 2004.

**B. Format and Content.**

The offeror shall submit Exhibits A through E to describe the cost of the offeror's effort inclusive of prime participants. The offeror shall also identify and discuss the contingencies used in developing the proposed costs/price and the basis for the cost/price estimate for each element, that is, how the labor rates were developed, how indirect rates were calculated and developed, award fee basis, etc.

When the applicant begins to "Create Proposal" for the ITES, the applicant will complete the required fields and attach the following files to the link identified as: Attach Volume III/Cost Proposal.

For consistency, the applicant is instructed to use the file names specified below. Filename extensions shall clearly indicate the software application used for preparation of the documents, i.e., ".pdf" for Adobe Acrobat, ".xls" for Excel, or ".doc" for Word files:

Volume III, Cost Proposal, shall include the following documents (in the order listed):

MANDATORY FILE	FILE NAME
File 1 Contract Pricing Proposal Cover Sheet	Cover Sheet.doc
File 2 Cost Exhibits A through E	Cost Exhibits.xls
File 3 Cost Discussion	Cost Discussion.doc

**File 1 – CONTRACT PRICING PROPOSAL COVER SHEET (Cover Sheet.doc)**

The Contract Pricing Proposal Cover Sheet (NETL F 534.1-1) is available for downloading on the NETL homepage at:

[http://www.netl.doe.gov/business/forms/new/534\\_1-1.doc](http://www.netl.doe.gov/business/forms/new/534_1-1.doc)

The offeror shall submit one set of fully executed Contract Pricing Proposal Cover Sheets as Word documents. A set consists of one summary Contract Pricing Proposal Cover Sheet for the total proposed effort and separate Contract Pricing Proposal Cover Sheets for each period of the contract performance. The base period and each option period must have separate Contract Pricing Proposal Cover Sheets. The instructions contained in Table 15-2 of FAR Subpart 15 shall be followed to provide adequate supporting documentation for the estimated costs indicated on the Contract Pricing Proposal Cover Sheet (blocks 6A through 6C).

**File 2 – COST EXHIBITS A through E (Cost Exhibits.xls)**

File 2 shall consist of exhibits A through E in the format as provided in Attachment F to this solicitation. To facilitate the Government's review, the offeror shall provide the Cost Exhibits (File 2) using an EXCEL (Version XP or lower) spreadsheet.

Exhibit A -- Summary of Proposed Costs and Fee by Year

The offeror shall provide a summary by individual cost element. In addition a maximum award fee pool shall be proposed as both an absolute number and as a percentage of the proposed total estimated cost. A separate schedule shall be prepared for the offeror and each prime participant. In addition, another schedule, which totals all of the separate schedules, shall also be submitted. Each cost element on the exhibit must be reported. Additional cost elements (e.g. FCCOM) may be added as needed to reflect the offeror's and prime participant's accounting system.

Exhibit B1 through B4 -- Direct Labor Categories, Position Descriptions and Labor Rates

Exhibit B1 - Summary Distribution of RFP Direct Productive Labor Hours (DPLH)

The offeror shall provide a DPLH inventory showing the distribution of the DPLH (total hours provided in this solicitation) required for each labor category to be performed by the offeror's organization and by each

prime participant organization. Solicitation Direct Labor Category titles are provided only for the purpose of standardizing the alignment of the offeror's and prime participant's labor categories to those provided in the Department of Labor Wage Determination. This approach was chosen to establish common guidance for cost proposal preparation and to aid in cost proposal evaluation.

Exhibit B2 - Position Descriptions of Direct Labor Categories

Offeror and prime participants shall provide job position descriptions for each corresponding direct labor category. The descriptions and minimum qualifications shall be the same as those provided in the proposed Staffing Plan (L.15, File 4). **The position descriptions of Exhibit B-2 shall be incorporated as Section J, Attachment F to the contract.**

Exhibit B3 -Reconciliation of Labor Categories

Offeror and prime participants shall provide a reconciliation of specified labor categories in the solicitation to their normal labor categories.

Exhibit B4 - Labor Hours, Rates and Costs by Contract Year

The specified DPLH are to be used in the development of cost proposals. This level of effort, required by NETL, is equivalent to 54 FTEs. If the hourly rate for a job category differs between locations, offeror shall calculate a composite rate based on the hours presented for each site. If hours are not provided by site, offeror should assume that half of the hours will be expended at the Pittsburgh site and half at the Morgantown site. A breakdown of the separate rates shall be provided in a footnote to the schedule. In addition, any assumptions about escalation of labor rates shall be explained.

Exhibit C1 through C3 - Indirect Expenses

These exhibits provide the formats for the individual expense items for each indirect pool by item name and dollar amount. Previous fiscal year's history and current fiscal year's projected expenses shall be provided as well as the projected costs for the next five years (contract period and two option periods). Separate exhibits are required for each proposed indirect cost center and rate. The format of these exhibits shall be modified to reflect the offeror's accounting system.

Exhibit C1 - Fringe Benefit Expense Schedule

On separate schedules, offeror and prime participants shall provide their most recently completed fiscal year and the current fiscal year projected fringe benefit costs and rates to provide a fringe benefit expense history. Offeror and prime participants shall also provide fringe benefit cost and rate projections for the contract period and two option years.

Exhibit C2 - On-Site Overhead Expense Schedule

On separate schedules, offeror and prime participants shall provide their most recently completed fiscal year and the current fiscal year on-site overhead pools, allocation bases, and rates. Offeror and prime participants shall also provide overhead cost and rate projections for the contract period and two option periods. These costs shall include the senior manager(s) and manager(s) and their administrative staff. A ceiling rate may be negotiated for the on-site overhead expense pool.

Exhibit C3 - General and Administrative (G & A) Expense Schedule

On separate schedules, offeror and prime participants shall provide their most recently completed fiscal year and current fiscal year projected G & A costs and rates and then the projected G & A costs and rate calculation for the contract period and two option years.

**Exhibit D** - Inventory of Personnel as of Date of Proposal Preparation

Offeror shall identify Offeror and Prime Participants' available personnel by labor category and number of new hires planned. Although the Senior Manager(s) and Manager(s) shall be proposed as an indirect expense, offeror shall specifically include and identify them on this schedule.

**Exhibit E** - Other direct Costs (Provided by NETL)

Offeror shall use the NETL specified other direct costs in preparation of its cost proposal. These costs include travel, training, materials and supplies, and subcontracts. The subcontract cost category includes work such as consultant services and specialized subcontract services exclusive of prime participants labor cost.

**File 3 COST DISCUSSION (Cost Discussion.doc)**

The Offeror shall submit a brief discussion on their Compensation for Professional Employees under Federal Contracts for Services, Estimating Procedures, Company Compensation Policies, and Audit and Contract Administrative Cognizance, as indicated below:

**Compensation for Professional Employees under Federal Contracts for Services.**

Offeror shall provide a proposed labor relations and total compensation plan for all work required under this solicitation. Compensation levels proposed shall clearly reflect the offeror's understanding of work to be performed and indicate the capability of the proposed compensation structure to obtain and keep suitably qualified personnel to meet mission objectives. Salary rates or ranges shall take into account differences in skills, the complexity of various disciplines, and professional job difficulty. Offeror shall include the following information:

- (a) Offeror shall provide a profile of the skill mix by classification for exempt (non-supervisory) and non-exempt positions.
  - (1) Provide a schedule of direct labor by population, by job title, hire rate, and average rate by Fiscal Year. If "Rate Ranges" are used, explain the method of progression from minimum to maximum.
  - (2) Furnish any supporting information that the Wage and Salary Structure is competitive with local conditions which will insure the recruitment and retention of qualified personnel for this contract.
  - (3) Explain formula and frequency of adjustment if your wage and salary plan provides a "cost of living adjustment".
  - (4) List the fringe benefits and the estimated cost per hour for exempt and non-exempt personnel including holidays, sick leave, vacation, severance, pensions, insurance (hospital, disability, medical, dental, life, etc.).
  - (5) If your company or other divisions of your parent company are performing a Government contract in the local area or at the same site of performance as this contract, identify any differences in your proposed "wage and salary plan" including fringes and explain your rationale for these differences.
- (b) Describe offeror's approach to crediting employees' service with the current Contractor toward any length of service requirements of offeror's firm for such fringe benefits as vacation, sick leave, severance pay allowance, etc., for employees of the current Contractor who may continue on the contract with offeror's firm.

c) Identify any Labor Unions having Collective Bargaining Agreements with offeror's company covering classes of employees contemplated in this solicitation.

(d) Briefly define the terms "exempt" and "non-exempt" as used by offeror's company.

**Estimating Procedure.**

Offeror shall provide an explanation of the estimating procedures used. It is essential that there be a clear understanding of the below-listed factors. Offeror shall cover the following in the estimating procedures explanation:

- a. The existing verifiable data;
- b. The judgmental factors applied in projecting from known data to the estimate;
- c. The contingencies used by the offeror in the proposed costs; and
- d. The basis of the cost estimate for each element of cost, to include how the labor rates and the indirect rates were developed, choice of subcontracts/consultants, material prices, etc.

**Company Compensation Policies.**

The offeror shall briefly describe company compensation policies in the following areas (existing company publications may be furnished):

- a. Salary increases:
  - (1) Merit.
  - (2) Cost-of-Living.
  - (3) General.
  - (4) Other.
- b. Fringe Benefits:
  - (1) Paid absences (vacations, sick leave, etc.).
  - (2) Insurance contributions.
  - (3) Retirement.
  - (4) Other.
- c. Travel/Per Diem.
- d. Relocation.
- e. Bonuses/Other Employee Incentives.
- f. Severance.
- g. Overtime.
- h. Uncompensated overtime.
- i. Shift Premium.

**Audit and Contract Administrative Cognizance.**

Provide the name, address, and phone number of the Government audit office and contract administration

office for the offeror and any proposed prime participants or subcontractors on each Contract Pricing Proposal Cover Sheet (Block 9A and 9B). If an Audit report is available, the offeror should include a copy of the report in this file. The offeror shall also submit any current Indirect Rate Agreements or notices established by their Cognizant Federal Agency as required by Part I, Section B, clause entitled "Annual Indirect Rate Submission" of this solicitation. The offeror may submit their audits and indirect rate agreements as a separate .pdf file (entitled audit-rate agreement.pdf).

**L.17 PROPOSAL PREPARATION INSTRUCTIONS - VOLUME IV, BUSINESS MANAGEMENT PROPOSAL (OCT 1994)**

Volume IV, Business Management Proposal will not be utilized for this solicitation. Please include all documents for evaluation in Volume II, Technical Proposal when uploading to the IIPS program.

**L.18 52.222-46 EVALUATION OF COMPENSATION FOR PROFESSIONAL EMPLOYEES. (FEB 1993)**

(a) Recompensation of service contracts may in some cases result in lowering the compensation (salaries and fringe benefits) paid or furnished professional employees. This lowering can be detrimental in obtaining the quality of professional services needed for adequate contract performance. It is therefore in the Government's best interest that professional employees, as defined in 29 CFR 541, be properly and fairly compensated. As part of their proposals, offerors will submit a total compensation plan setting forth salaries and fringe benefits proposed for the professional employees who will work under the contract. The Government will evaluate the plan to assure that it reflects a sound management approach and understanding of the contract requirements. This evaluation will include an assessment of the offeror's ability to provide uninterrupted high-quality work. The professional compensation proposed will be considered in terms of its impact upon recruiting and retention, its realism, and its consistency with a total plan for compensation. Supporting information will include data, such as recognized national and regional compensation surveys and studies of professional, public and private organizations, used in establishing the total compensation structure.

(b) The compensation levels proposed should reflect a clear understanding of work to be performed and should indicate the capability of the proposed compensation structure to obtain and keep suitably qualified personnel to meet mission objectives. The salary rates or ranges must take into account differences in skills, the complexity of various disciplines, and professional job difficulty. Additionally, proposals envisioning compensation levels lower than those of predecessor Contractors for the same work will be evaluated on the basis of maintaining program continuity, uninterrupted high-quality work, and availability of required competent professional service employees. Offerors are cautioned that lowered compensation for essentially the same professional work may indicate lack of sound management judgment and lack of understanding of the requirement.

(c) The Government is concerned with the quality and stability of the work force to be employed on this contract. Professional compensation that is unrealistically low or not in reasonable relationship to the various job categories, since it may impair the Contractor's ability to attract and retain competent professional service employees, may be viewed as evidence of failure to comprehend the complexity of the contract requirements.

(d) Failure to comply with these provisions may constitute sufficient cause to justify rejection of a proposal.

**L.19 UNNECESSARILY ELABORATE PROPOSALS AND FILE SIZE LIMITATIONS (AUG 2003)**

Unnecessarily elaborate proposals beyond those sufficient to present a complete and effective response to this solicitation are not desired. Elaborate art work, graphics and pictures may increase the document's file size. It is suggested that in preparing your proposal that you create files less than 5 MB. However, this file size may not be appropriate in all situations. As the nature of the proposal may create large files, Offerors may wish to use "Zip" file compression software such as WinZip. Using this compression software will diminish the file size, thus reducing the time needed to upload and download an proposal.

**L.20 INFORMATION OF AWARD (NOV 1997)**

Written notice to unsuccessful offerors and contract award information will be promptly released in accordance with DOE regulations applicable to negotiated acquisitions.

**L.21 DISPOSITION OF SOLICITATION MATERIALS AND PROPOSALS (FEB 1998)**

Drawings, specifications, and other documents supplied with the solicitation may be retained by the offeror (unless there is a requirement for a document to be completed and returned as a part of the offer).

Offeror's Proposals will not be returned (except for timely withdrawals).

**L.22 52.233-2 SERVICE OF PROTEST. (AUG 1996)**

(a) Protests, as defined in section 33.101 of the Federal Acquisition Regulation, that are filed directly with an agency, and copies of any protests that are filed with the General Accounting Office (GAO), shall be served on the Contracting Officer (addressed as follows) by obtaining written and dated acknowledgment of receipt from Department of Energy, National Energy Technology Laboratory, 3610 Collins Ferry Road, P.O. Box 880, Mail Stop 107, Morgantown, WV 26507-0880.

(b) The copy of any protest shall be received in the office designated above within one day of filing a protest with the GAO.

**L.23 952.233-2 SERVICE OF PROTEST.**

As prescribed in 48 CFR 933.106(a), add the following to the end of the clause at FAR 52.233-2:

(a) Another copy of a protest filed with the General Accounting Office shall be furnished to the following address within the time periods described in paragraph (b) of this clause: U.S. Department of Energy, Assistant General Counsel for Procurement and Financial Assistance (GC-61), 1000 Independence Avenue, S.W., Washington, DC 20585, Fax: (202) 586-4546.

**L.24 952.233-4 NOTICE OF PROTEST FILE AVAILABILITY. (SEP 1996)**

(a) If a protest of this procurement is filed with the General Accounting Office (GAO) in accordance with 4 CFR Part 21, any actual or prospective offeror may request the Department of Energy to provide it with reasonable access to the protest file pursuant to FAR 33.104(a)(3)(ii), implementing section 1065 of Public Law 103- 355. Such request must be in writing and addressed to the Contracting Officer for this procurement.

(b) Any offeror who submits information or documents to the Department for the purpose of competing in this procurement is hereby notified that information or documents it submits may be included in the protest file that will be available to actual or prospective offerors in accordance with the requirements of FAR 33.104(a)(3)(ii). The Department will be required to make such documents available unless they are exempt from disclosure pursuant to the Freedom of Information Act. Therefore, offerors should mark any documents as to which they would assert that an exemption applies. (See 10 CFR part 1004.)

**L.25 952.233-5 AGENCY PROTEST REVIEW. (SEP 1996)**

Protests to the Agency will be decided either at the level of the Head of the Contracting Activity or at the Headquarters level. The Department of Energy's agency protest procedures, set forth in 933.103, elaborate on these options and on the availability of a suspension of a procurement that is protested to the agency. The Department encourages potential protesters to discuss their concerns with the Contracting Officer prior to filing a protest.

**L.26 52.237-10 IDENTIFICATION OF UNCOMPENSATED OVERTIME. (OCT 1997)**

(a) *Definitions.* As used in this provision -



“Uncompensated overtime” means the hours worked without additional compensation in excess of an average of 40 hours per week by direct charge employees who are exempt from the Fair Labor Standards Act. Compensated personal absences such as holidays, vacations, and sick leave shall be included in the normal work week for purposes of computing uncompensated overtime hours.

“Uncompensated overtime rate” is the rate that results from multiplying the hourly rate for a 40-hour work week by 40, and then dividing by the proposed hours per week. For example, 45 hours proposed on a 40-hour work week basis at \$20 per hour would be converted to an uncompensated overtime rate of \$17.78 per hour ( $\$20.00 \times 40$  divided by 45 = \$17.78).

(b) For any proposed hours against which an uncompensated overtime rate is applied, the offeror shall identify in its proposal the hours in excess of an average of 40 hours per week, by labor category at the same level of detail as compensated hours, and the uncompensated overtime rate per hour, whether at the prime or subcontract level. This includes uncompensated overtime hours that are in indirect cost pools for personnel whose regular hours are normally charged direct.

(c) The offeror's accounting practices used to estimate uncompensated overtime must be consistent with its cost accounting practices used to accumulate and report uncompensated overtime hours.

(d) Proposals that include unrealistically low labor rates, or that do not otherwise demonstrate cost realism, will be considered in a risk assessment and will be evaluated for award in accordance with that assessment.

(e) The offeror shall include a copy of its policy addressing uncompensated overtime with its proposal.

**L.27 52.215-16 FACILITIES CAPITAL COST OF MONEY. (JUN 2003)**

(a) Facilities capital cost of money will be an allowable cost under the contemplated contract, if the criteria for allowability in FAR 31.205-10(b) are met. One of the allowability criteria requires the prospective Contractor to propose facilities capital cost of money in its offer.

(b) If the prospective Contractor does not propose this cost, the resulting contract will include the clause Waiver of Facilities Capital Cost of Money.

## **SECTION M - EVALUATION FACTORS FOR AWARD**

### **M.1 GENERAL (MAR 1998)**

Proposals will be evaluated in accordance with applicable laws and the criteria set forth in the solicitation.

### **M.2 BASIS FOR CONTRACT AWARD**

The Government intends to award one contract to the responsible Offeror whose proposal is responsive to the solicitation and is determined to be the best value to the Government. Selection of the best value to the Government will be achieved through a process of evaluating the strengths and weaknesses of each Offeror's proposal in accordance with the evaluation criteria stated in the solicitation. In determining the best value to the Government, the Technical Proposal Criteria are significantly more important than the evaluated cost. The Government is more concerned with obtaining a superior technical proposal than making an award at the lowest evaluated cost. However, the Government will not make an award at a price premium it considers disproportionate to the benefits associated with the evaluated superiority of one technical proposal over another. Thus, to the extent that Offerors' technical proposals are evaluated as close or similar in merit, the evaluated cost is most likely to be a determining factor.

### **M.3 OVERALL RELATIVE IMPORTANCE OF EVALUATION CRITERIA (NOV 1997)**

The evaluation criteria (other than cost) when combined, are considered significantly more important than cost.

The Technical Approach evaluation criterion has the highest weighting, which is equal to the combined weight of the Key Personnel criterion and the Experience criterion. The Key Personnel criterion is the second highest weighting. The Management Approach criterion is twice the weight of the Experience criterion. Experience and Past Performance criterion are equal in weight.

The offer and other documents proposal is to be evaluated for adequacy and compliance with the solicitation.

### **M.4 EVALUATION CRITERIA - SUPPORT SERVICES**

#### **(a) TECHNICAL PROPOSAL:**

Technical aspects of the proposals will be evaluated in accordance with the following criteria, which are listed in descending order of importance. The individual elements that comprise the following criteria are not listed in order of importance and will not be individually weighted, but rather will be considered as a whole in developing an overall point score for each criterion.

#### **CRITERION 1: TECHNICAL APPROACH.**

The offeror will be evaluated under this criterion based on reasonableness of choice of methodologies, approach to and demonstrated understanding of technology development, implementation, and deployment, approach to achieving end user satisfaction, approach to and demonstrated understanding of Enterprise Architecture, approach to and demonstrated understanding of cyber security, approach to maintenance, approach to and demonstrated understanding of measurement and planning, approach to and demonstrated understanding of help desk support and service, and approach to developing and maintaining documentation.

#### **CRITERION 2: KEY PERSONNEL/CRITICAL PERSONNEL.**

The offeror will be evaluated under this criterion based on the caliber and fit of key personnel and critical personnel to accomplish the work as described in Section J, Attachment A, Statement of Work. The key personnel's and critical personnel's education, credentials, experience, management experience and professional development encompassing skills and years of experience and training related to the requirements will be considered. In addition, the offeror will be evaluated based on the percentage of time

key personnel will dedicated to the contract. The offeror shall also be evaluated on their understanding of the requirement based on their assignment of positions to key and critical personnel. Information to be evaluated may also be obtained from other areas of the Offeror's proposal and through reference checks.

#### CRITERION 3: MANAGEMENT APPROACH.

The offeror will be evaluated under this criterion based on the approach to ensuring the requirements of the Statement of Work are met, demonstrated company management commitment to the contract, approach to and understanding of how the proposed organizational structure relates to performance of the Statement of Work, approach to recruitment and retention of personnel, approach to subcontracting, reasonableness of choice of methodologies and management tools, approach to effective communications, understanding of the value of effective communications, approach to providing support personnel outside of normal operating hours (on-call), and approach to and understanding of project management.

#### CRITERION 4: EXPERIENCE.

The offeror will be evaluated under this criterion based on demonstrated experience with geographically dispersed large user populations, demonstrated breadth of knowledge, ability, innovation, and cost savings in performing work similar to that identified in the SOW, demonstrated experience of recruiting and retaining personnel, demonstrated experience in the area of cyber security, demonstrated experience in the area of enterprise architecture, and demonstrated experience in the area of enterprise systems.

#### CRITERION 5: PAST PERFORMANCE.

The offeror's past performance will be evaluated with respect to satisfaction of the customer cost and technical requirements, customer relations, production and product timeliness, corporate integrity and all other functions associated with the management and administration of contract(s).

Each offeror will be evaluated on its performance under existing and prior contracts for similar products or services. The Government will focus on information that demonstrates the quality of the Contractor's performance in contracts relative to the size and/or complexity of this requirement as identified in Section J, Attachment A, Statement of Work.

(Note: Offerors without a record of relevant past performance, or for whom information on past or present performance is not available, will be evaluated neither favorably nor unfavorably on past performance.)

#### (b) COST PROPOSAL EVALUATION:

The cost proposal will not be point scored. It will be evaluated to establish most probable cost to the Government. The cost proposal will also be used as a guide to determine the Offeror's understanding of the requirements of the RFP and to assess the validity of the Offeror's approach to performing the work in accordance with the technical requirements of the RFP. The cost proposed in the Cost Exhibits represent the core work of the Statement of Work (Service Areas 4.1, 4.2, 4.3, 4.4, and 4.6). The evaluation of cost will be based on the cost proposed for this core work. The variable work as indicated in the Statement of Work (Service Area 4.5) will have a ceiling value of 20% of the total cost plus award fee proposed for the core work. All cost evaluation criteria are of equal importance. Cost evaluation criteria that will be considered are:

##### (a) Criterion 1: Cost Realism, Accuracy, and Reasonableness

The Government will determine (i.e. rate as acceptable or unacceptable) whether the Offeror's cost proposal is realistic (i.e. adequate to accomplish of the RFP's Statement of Work), accurate, and reasonable (i.e. proposed costs are generally recognized as ordinary and necessary for contract performance and do not exceed those which would be incurred by an ordinary prudent person in the conduct of competitive business).

(b) Criterion 2: The Evaluated Most Probable Cost to the Government

The Government will establish the most probable cost to the Government by evaluating all elements of each Offeror's cost proposal that could impact estimated costs.

**M.5 52.217-5 EVALUATION OF OPTIONS. (JUL 1990)**

Except when it is determined in accordance with FAR 17.206(b) not to be in the Government's best interests, the Government will evaluate offers for award purposes by adding the total price for all options to the total price for the basic requirement. Evaluation of options will not obligate the Government to exercise the option(s).